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PROPOSED ORGANIZATION OF THE FEDERAL WATER POLLUTION CONTROL ADMINISTRATION. A PLANNING GROUP REPORT

Department of Health, Education, and Welfare
Washington, D.C.

October 1965

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OF THE
FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

A Planning Group Report

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Office of the Secretary
October 1965

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SUMMARY OF FINDINGS AND RECOMMENDATIONS

The Water Quality Act of 1965 creates, in the Department of Health, Education, and Welfare, a Federal Water Pollution Control Administration (FWPCA). The Act also requires that the Secretary designate an Assistant Secretary to assist in supervising the Head of FWPCA. Well in advance of enactment of this legislation, a task force was established to develop such facts, analyses, and recommendations as would be needed to enable responsible officials to determine the desirable organization, functions, and relationships of the new Administration. This report is the product of the required study.

Task force findings and recommendations are summarized below and are explained in detail in Sections III through VII of this report.

Summary of Findings

RESPONSIBILITIES OF THE NEW ADMINISTRATION

The Federal Water Pollution Control Administration will be founded on a mission currently assigned to Public Health Service's Division of Water Supply and Pollution Control (DWSPC). This mission, as expanded upon by the Water Quality Act of 1965, embraces responsibilities of great complexity and magnitude--responsibilities which involve:

- Concern, either official or consultant-type, for virtually all of the surface and ground waters of the United States, and for the perplexing problems which make many of these waters unfit for their desirable uses;

- Relationships with a multitude of Federal agencies and their field organizations throughout the United States;
- Relationships with officials of every State, territory, and municipality of significant size in the United States;
- Relationships, on the site, with countless industries, universities, and other private organizations and individuals;
- Program and management concern for a growing array of field installations and activities involved in the conduct of intramural research, comprehensive programs, enforcement studies and projects, training, special studies and investigations, water quality and facilities data collection, and so on;
- Program and management concern for an increasing number of mission-related grants-in-aid and contracting activities; and
- In a much expanded way, concern for the provision of administrative and logistical support and services to widely dispersed field activities.

RELATIONSHIP OF DWSPC PROBLEMS

In the conduct of the study on which this report is based, it was found that there are major deficiencies in the management and organization of DWSPC--deficiencies which may be passed on to the new Administration unless they are clearly identified and unless firm steps are taken to guard against them.

Generally speaking, it was found that the Division of Water Supply and Pollution Control lacks: effective central direction, coordination, and control; effective systems for either long or short-range planning and programming of its mission activities; essential organizational and administrative discipline; a systematic approach to its responsibilities for pollution abatement at Federal installations and for promotion of uniform State laws and interstate compacts; mission orientation in the administration of its research grants and training grants activities; implementable plans for division of responsibilities between current and projected field organizations; and a headquarters staff of such composition as to provide, without significant change, a headquarters staff for the new Federal Water Pollution Control Administration. In short, it was found that the existing Division does not provide a sound organizational framework upon which to build the new Administration. (See Section III of the report for details.)

CONCEPT FOR FWPCA ORGANIZATION

Since DWSPC's organization for performance of its mission was found deficient, a more promising organizational concept was sought for application to the new Administration--one which would: avoid perpetuation in FWPCA of any of the organizational, management, and other deficiencies or problems of DWSPC; accommodate the significant new water quality standards and demonstration grants functions assigned to FWPCA by the Water Quality Act of 1965; permit unified and balanced planning, programming, and management of all of the new agency's multitudinous affairs; effect the operating agency status prescribed for FWPCA by the 1965 Act--especially in the provision to the new agency of an optimum degree of administrative self-sufficiency; produce an organization which, without significant change, can accept new responsibilities and an expansion of existing responsibilities; provide for an optimum division of labor and coverage of all mission functions with neither gap nor unnecessary overlap in the division of responsibilities; facilitate communication across organizational lines and up and down in the organizational hierarchy; and provide precise terms of reference for the roles, functions, relationships, and authorities of each of its elements.

It was found that a staff-line concept of organization would best meet the needs of the new Administration. An FWPCA organization predicated on this concept would focalize central direction and major decision-making authority in the head of the new Administration; create a framework and provide a staff for planning, programming, and coordinating the new Administration's multitudinous affairs; permit the Commissioner and his headquarters staff to focus their attention on means for attaining the agency's objectives, related matters of national significance, and the development of solutions to problems of major magnitude; place responsibility for supervision of day-to-day operations in the hands of field officials whose bases of operations are geographically proximate to involved public and private organizations and to the Nation's major water systems; and identify clearly to field clientele the DHEW and FWPCA spokesmen on water pollution control affairs in each geographical area of the United States. (See Section V of the report for discussion of concept.)

HEALTH-RELATED FUNCTIONS OF FWPCA

On a related matter (to be dealt with more fully in a separate report), it was found that both the new Administration and the Public Health Service have legitimate concerns for both the human health significance of water contaminants and the means for removing contaminants from water. But it was concluded that there should be a non-duplicatory division of medical and non-medical responsibilities between these two DHEW agencies; that the Public Health Service responsibility should extend to the development of a strong program of research into the human health significance of water contaminants, and the new Administration's responsibility should embrace the non-medical aspects of the problem--that is, the development and application of means for detecting, measuring, and removing contaminants from water; and that these responsibilities should be exercised in a mutually supportive atmosphere.

The present Division of Water Supply and Pollution Control is performing no functions of a type which should be assigned to the Public Health Service. And Public Health Service's human health oriented environmental contaminant research activities are largely in the planning stage. Until a comprehensive research program is under way in the Service, it is considered essential that the Surgeon General devise an interim means for provision to the new Administration of information concerning the human health significance of specific water contaminants. (This subject is discussed in more detail in Section IV of the report.)

ROLE OF THE DESIGNATED ASSISTANT SECRETARY

It was found that a particular deficiency in the current Federal water supply and pollution control program is the lack of organized, systematic, and meaningful long-range planning, and that the new Act's authorization of an additional Assistant Secretary provides an opportunity to eliminate this deficiency. For the Assistant Secretary designated to assist the Secretary in administering the Department's water pollution control affairs can and should be charged with concentrating on matters of fundamental national policy and on ensuring the development of imaginative but feasible long-range plans for solution of a growing backlog of heretofore insoluble water pollution problems--plans which, when implemented, will ensure an improved quality of water for all legitimate uses. Staff support for the long-range planning function can be provided by the FWPCA Commissioner.

Summary of Recommendations

Because the Water Quality Act of 1965 specifies a role for an Assistant Secretary in the administration of DHEW's water supply and pollution control affairs, the water-related responsibilities and relationships of that official are covered in these recommendations.

Of particular concern is the need to clearly delineate the roles, responsibilities, authorities, duties, and relationships of headquarters and field officials of the new Administration. The following summary of recommendations provides an outline guide to the proposed delineation. Approval and implementation of these recommendations, however, will require careful consideration of the entire contents of Sections III through VI of this report.

DESIGNATED ASSISTANT SECRETARY

1. It is recommended that:

a. The designated Assistant Secretary be charged with: developing and recommending fundamental national policy for water supply and pollution control; developing and recommending long-range plans and objectives for the Federal water pollution control program; exercising policy supervision over and coordinating all water supply and pollution control activities of the Department; and serving as Chairman of the Water Pollution Control Advisory Board.

b. The Executive Secretariat of the Water Pollution Control Advisory Board be transferred to the immediate office of the Assistant Secretary.

c. Staff support for the Assistant Secretary's major policy and planning responsibilities be provided by the FWPCA Commissioner.

HEADQUARTERS, FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

2. It is recommended that the headquarters organization of the Federal Water Pollution Control Administration consist of an Office of the Commissioner and four functional bureaus.

3. It is recommended that the Office of the Commissioner consist of:

a. The immediate Office of the Commissioner, to include the Commissioner, a Deputy Commissioner, and an Assistant Deputy Commissioner.

b. An Office of Programs, to include an Assistant Commissioner for Programs, a Division of Plans, and a Division of Program Development and Evaluation.

c. An Office of Administration, to include an Assistant Commissioner for Administration and four Divisions--a Division of Financial Management, a Division of Personnel Management, a Division of Organization and Management Systems, and a Division of General Services.

d. An Office of Public Information to include a Chief of Public Information and supporting staff.

e. A Special Assistant for Legislative Affairs.

f. A Special Assistant for Health Affairs.

4. It is recommended that the headquarters bureau structure consist of:

a. A Bureau of Technical Programs, to include an Associate Commissioner for Technical Programs and three Divisions--a Division of Comprehensive Programs, a Division of Enforcement Services, and a Division of Technical Services.

b. A Bureau of Facilities Programs, to include an Associate Commissioner for Facilities Programs and two Divisions--a Division of Facilities Construction Programs and a Division of Facilities Demonstration Grants.

c. A Bureau of Cooperation and Enforcement, to include an Associate Commissioner for Cooperation and Enforcement and two Divisions--a Division of Federal and Interstate Cooperation and a Division of Enforcement.

d. A Bureau of Research and Development, to include an Associate Commissioner for Research and Development and three Divisions--a Division of Basic Research, a Division of Applied Research, and a Division of Research and Training Grants.

5. It is recommended that functions be divided among headquarters organizations, and that responsibilities, authorities, duties, and relationships of designated headquarters officials, be prescribed, as proposed in the headquarters portion of Section VI of this report.

FIELD ORGANIZATIONS WITH A NATIONAL ORIENTATION

6. It is recommended that the directors of the two projected National Water Quality Research Laboratories, with functions essentially as described in Section VI, be placed under the direct supervision and control of the Associate Commissioner for Research and Development.

7. It is recommended that the Division of Water Supply and Pollution Control's Cincinnati research activities be constituted as the Cincinnati National Water Research Laboratory, and that the director of this Laboratory be placed under the direct supervision and control of the Associate Commissioner for Research and Development.

8. It is recommended that the Division of Water Supply and Pollution Control's Cincinnati technical assistance, water quality surveillance, and training activities be constituted, under a single director, as the Cincinnati National Technical Services Center, with functions as proposed in Section VI; and that, during the transitional period, the director of this Center be subject to the technical supervision of the Associate Commissioner for Technical Programs.

FIELD ACTIVITIES WITH A REGIONAL ORIENTATION

9. It is recommended that, for purposes of decentralized management and control of the new Administration's regionally oriented field activities:

a. DHEW regional boundaries be established as FWPCA regional boundaries.

b. Regional Program Staffs be established and located in each DHEW Regional Office, and Regional Assistant Commissioners be appointed to head these staffs.

c. The title "Regional Water Pollution Control Center" be applied to facilities now identified as regional laboratories.

d. Regional Assistant Commissioners be delegated authority and responsibility--within policies, plans, programs, budgets, and other guidance promulgated by the Commissioner--to exercise supervision and control of all FWPCA regionally oriented field activities headquartered in their regions--to include Regional Program Staffs, Regional Water Pollution Control Centers, and staffs of comprehensive and enforcement projects.

e. Precise terms of reference for the responsibilities, authorities, duties, and relationships of Regional Assistant Commissioners, Regional Program Staffs, Directors of Regional Water Pollution Control Centers, and chiefs of comprehensive and enforcement projects be those described in Section VI of this report.

IMPLEMENTATION OF RECOMMENDATIONS

10. It is recommended that a nucleus staff for the headquarters of the new Administration be established as promptly as possible, and that this staff be required to do everything that is possible to translate approved recommendations into a going organization by the activation date of the Federal Water Pollution Control Administration. Suggestions as to the kinds of implementing actions required are presented in Section VII of this report.

HEALTH-RELATED FUNCTIONS (See Section IV of the Report)

11. It is recommended that, pending definitive resolution of questions which have arisen concerning the division of health-related functions between the Public Health Service and FWPCA, it be agreed that:

a. Both agencies have legitimate concerns for the human health significance of water pollution and for the removal of harmful contaminants from water.

b. The primary water supply and pollution control role of Public Health Service is one of determining the human health significance of water contaminants; and the primary role of FWPCA is one of determining how to remove all contaminants from water.

c. With the reservation that its specific applications will be subject to further study and individual determination, this concept will be applied to the future assignment of water supply and pollution control functions to the two agencies.

d. Until Public Health Service is fully equipped to fulfill its responsibility for research into the human health significance of water contaminants, the Surgeon General--in consultation with the FWPCA Commissioner--devise an interim means for provision, to the new Administration, of information concerning the human health significance of specific water contaminants.

PROPOSED ORGANIZATION
OF THE
FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

A Planning Group Report

I

INTRODUCTION

Purpose of the Report

The Water Quality Act of 1965 requires that there be established, in the Department of Health, Education, and Welfare, a Federal Water Pollution Control Administration (FWPCA). This report provides advice and recommendations concerning the desirable organization, functions, and relationships--internal and external--of that Administration.*

Genesis of the Report

Beginning with the 1956 amendments to the Federal Water Pollution Control Act, there has been a steady increase in Congressional and public pressure on the Surgeon General and, more recently, on the

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* This report will be followed by a separately bound supplement, entitled: "Report on a Special Study of the Assignment of Water Supply and Pollution Control Functions in the Department of Health, Education, and Welfare." The supplement provides a conceptual and factual basis for, and recommendations concerning, the division of health-related water functions between the projected FWPCA and the Public Health Service. The supplemental findings which bear immediately on the organization of FWPCA are summarized in Section IV of this report.

Secretary of Health, Education, and Welfare, to upgrade the organizational status of the Federal water pollution control program. In fact, during recent years, there has been a growing Congressional consensus that the program should be removed in its entirety from the Public Health Service. These pressures and actions derived from the general dissatisfaction of key Congressmen with the program's progress in the Public Health Service, and from the prodding of Congressmen by public organizations, chiefly the conservationists. Failure of the Department to respond to these pressures has led the Congress, since 1963, to active consideration of bills calling for, among other things, the establishment of a Federal Water Pollution Control Administration in the Department of Health, Education, and Welfare. Until the closing hours of its second session, in the fall of 1964, it seemed certain that the 88th Congress would agree on such legislation.

On January 28, 1965, the Senate passed S.4, the Water Quality Act of 1965 (the "Muskie Bill"). This bill also provided for the establishment of a Federal Water Pollution Control Administration. The House Committee on Public Works, immediately thereafter, initiated hearings on S. 4 and a counterpart House bill.

Secretary Celebrezze, stimulated by this prompt Congressional action and by strong Administration support of S.4, directed the Assistant Secretary for Administration to initiate the studies and planning necessary to facilitate implementation of the anticipated legislation. To this end, the Assistant Secretary for Administration established the Federal Water Pollution Control Administration Planning Group, a key element of which was a Task Force on FWPCA organization. The Organization Task Force was directed to develop and provide such facts, analyses, and recommendations as might be required to enable responsible officials to arrive at prompt decisions, at the appropriate time, concerning the organization of FWPCA, headquarters and field; the functions and relationships of each of its parts; and its key position structure. This report is the product of the Task Force's work.

Conduct of the Study

In the conduct of the study on which this report is based, the Organization Task Force:

1. Read extensively into the legislative history of the Federal Water Pollution Control Act (the basic water pollution control legislation), the organizational history of the Federal water pollution control program, published criticisms and complaints concerning DHEW's current organization for the conduct of water pollution control, published and unpublished studies and organization proposals, budget justifications and related documents, program reports, and hearing reports and related documents concerning Senate and House versions of S.4, its predecessor bills, and the finally enacted Water Quality Act of 1965.

2. Interviewed, both in Washington and the field, knowledgeable officials of the Office of the Secretary, Office of the Surgeon General, and Public Health Service's Bureau of State Services--including virtually all key officials of the Division of Water Supply and Pollution Control (see Appendix E for a listing of interviewed officials).

3. Through all of the foregoing means, determined the extent and nature of current organizational problems, and obtained a wide range of views concerning the means by which these problems might be avoided in the construction of the projected organization.

4. Analyzed accumulated views and data, developed draft alternative organization proposals, discussed these draft proposals with knowledgeable officials, and developed the final proposals which are presented in this report.

II

BACKGROUND

The foundation stones of the Federal Water Pollution Control Administration will be a much strengthened Federal Water Pollution Control Act, major organizational status in the Department of Health, Education, and Welfare, and the staff and other resources of the Division of Water Supply and Pollution Control. Most officials of the Department who will be concerned with this report are familiar with both the basic water pollution control legislation and the current organization in the Department for water pollution control. Since some readers may find them useful, however, legislative and organizational background statements are included as Appendixes A and B of this report. Appendix A treats briefly with the legislative history of the Federal water pollution control program and summarizes the provisions of both the basic Act (as amended through 1961) and the Water Quality Act of 1965. Appendix B briefly relates organizational developments in Public Health Service and the Department, and describes the current organization of the Division of Water Supply and Pollution Control.

To provide legislative and organizational terms of reference for later sections of this report, it is still necessary--at this point in the report--to provide very brief descriptions of the legislative basis and current DHEW organizational arrangements for the conduct of the Federal water pollution control program.

Federal Water Pollution Control Legislation

While minimal Federal water pollution control efforts have been prescribed by various acts of Congress, dating back to the nineteenth century, the first comprehensive Federal water pollution control legislation of a permanent nature was enacted in 1956, as an amendment to the temporary Federal Water Pollution Control Act of 1948. In this amendment (Public Law 84-660), the role of the Federal Government was fixed as one of support for water pollution control activities of States, interstate agencies, and localities. This Act (which was further amended and strengthened in 1961) authorized financial assistance for construction of municipal waste treatment works, comprehensive river basin programs for water pollution control, research, and enforcement. It also provided for technical assistance, the encouragement of interstate compacts and uniform State laws, grants for State programs, the appointment of a Water Pollution Control Advisory Board, and a cooperative program for the control of pollution from Federal installations.

The Water Quality Act of 1965 amends Public Law 84-660. A summary of changes is presented in Figure 1.

Current Division of Responsibilities in DHEW

As this report is being written, the Department's water pollution control responsibilities are being exercised in accordance with organizational arrangements established following the 1961 amendments to the

FIGURE 1

SUMMARY OF MAJOR CHANGES TO THE FEDERAL WATER POLLUTION CONTROL ACT (P.L. 84-660) EFFECTED BY THE WATER QUALITY ACT OF 1965

Provisions of Public Law 84-660	Changes Effected by the Water Quality Act
1. Organization and Administration	Creates within the Department of Health, Education, and Welfare a Federal Water Pollution Control Administration; authorizes an additional Assistant Secretary to assist the Secretary with water pollution control matters; and permits commissioned officers of the Public Health Service to transfer to the new Administration under competitive civil service status.
2. Comprehensive Programs	None
3. Interstate Cooperation and Uniform Laws	None
4. Research, Investigations, Training, and Information	None
5. Grants for State Water Pollution Control Programs	None
6. Construction Grants for Waste Treatment Works	Doubles grant ceilings to $1.2 million for each community project and $2.4 million for each joint community project; authorizes a 10 percent increase in these ceilings for projects which conform to comprehensive plans for metropolitan areas; increases annual appropriation authorization from $100 to $150 million; makes population the basis for allotting grants from the additional $50 million, without regard to per capita income; and authorizes grants in amounts up to 30 percent of the project cost without regard to the grant ceilings if a State agrees to match, dollar for dollar, all funds allotted to it from the additional $50 million.
7. Enforcement Measures	Authorizes States or the Secretary to establish and enforce water quality standards; and authorizes the Secretary to hold conferences when pollution causes economic injury in shellfish marketing.
8. Federal Installations Cooperation	None
9. - - - - - - - -	Authorizes new grant program for controlling discharge from sewers and an annual appropriation of $20 million for the program.

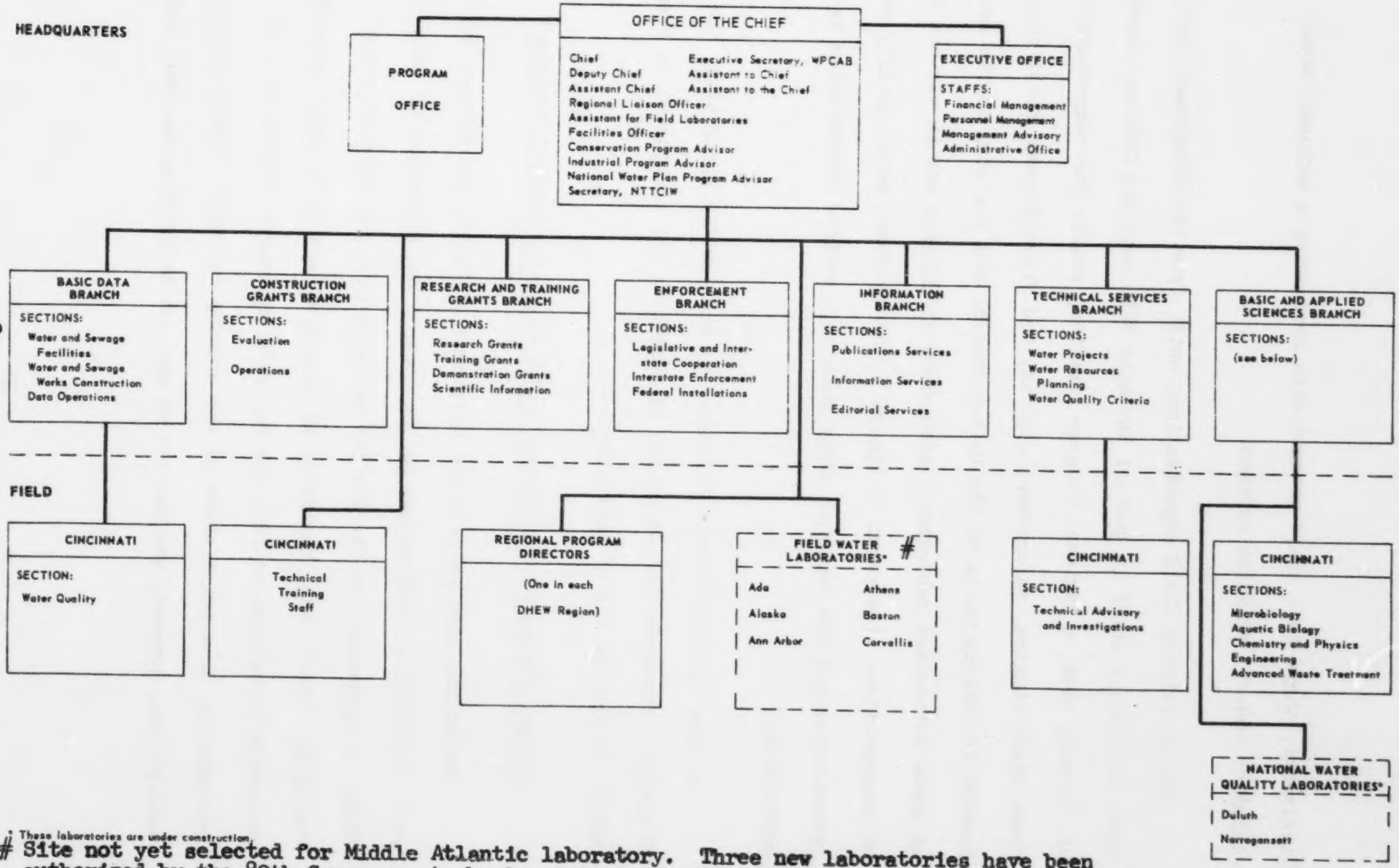
Federal Water Pollution Control Act. The Secretary is charged with administering the Act's provisions. He is assisted by the Assistant Secretary, who provides policy guidance for and coordinates the Department's water supply and pollution control activities; recommends for or against enforcement actions; and serves as Chairman of the Water Pollution Control Advisory Board.

Under the policy guidance of the Office of the Secretary, the Surgeon General is responsible for all program and administrative functions except enforcement proceedings, the activities of the Advisory Board, and approval of certain regulations and reports. The Division of Water Supply and Pollution Control--one of five divisions of Public Health Service's Bureau of State Services (Environmental Health)--performs all operating functions of the water pollution control program. On enforcement and Advisory Board matters, the Division is supervised directly by the Assistant Secretary; on other matters, it functions under the direction and control of the Surgeon General and the Bureau Chief.

DWSPC is an organization of about 1,600 people, with a Washington staff of approximately 300. The Division headquarters, as shown in Figure 2, now consists of the Office of the Chief, a program office, an executive office, and seven branches. Each of the branches is assigned functions derived from the law--functions which are implicit in their titles. Scientific and technical elements of three of these branches are actually field activities located in Cincinnati. In addition, in

FIGURE 2

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
PUBLIC HEALTH SERVICE
DIVISION OF WATER SUPPLY AND POLLUTION CONTROL
FEBRUARY 1965


HEADQUARTERS
PROGRAM OFFICE
OFFICE OF THE CHIEF
Chief
Deputy Chief
Assistant Chief
Regional Liaison Officer
Assistant for Field Laboratories
Facilities Officer
Conservation Program Advisor
Industrial Program Advisor
National Water Plan Program Advisor
Secretary, NTTCIW
Executive Secretary, WPCAB
Assistant to Chief
Assistant to the Chief
EXECUTIVE OFFICE
STAFFS:
Financial Management
Personnel Management
Management Advisory
Administrative Office
BASIC DATA BRANCH
SECTIONS:
Water and Sewage Facilities
Water and Sewage Works Construction
Data Operations
CONSTRUCTION GRANTS BRANCH
SECTIONS:
Evaluation
Operations
RESEARCH AND TRAINING GRANTS BRANCH
SECTIONS:
Research Grants
Training Grants
Demonstration Grants
Scientific Information
ENFORCEMENT BRANCH
SECTIONS:
Legislative and Interstate Cooperation
Interstate Enforcement
Federal Installations
INFORMATION BRANCH
SECTIONS:
Publications Services
Information Services
Editorial Services
TECHNICAL SERVICES BRANCH
SECTIONS:
Water Projects
Water Resources Planning
Water Quality Criteria
BASIC AND APPLIED SCIENCES BRANCH
SECTIONS:
(see below)
FIELD
CINCINNATI
SECTION:
Water Quality
CINCINNATI
Technical Training Staff
REGIONAL PROGRAM DIRECTORS
(One in each DHEW Region)
FIELD WATER LABORATORIES* #
Ada
Alaska
Ann Arbor
Athens
Boston
Corvallis
CINCINNATI
SECTION:
Technical Advisory and Investigations
CINCINNATI
SECTIONS:
Microbiology
Aquatic Biology
Chemistry and Physics
Engineering
Advanced Waste Treatment
NATIONAL WATER QUALITY LABORATORIES*
Duluth
Narragansett

* These laboratories are under construction.

# Site not yet selected for Middle Atlantic laboratory. Three new laboratories have been authorized by the 89th Congress--to be located at Columbia, Missouri; Stevens Point, Wisconsin; and Jackson-Vicksburg, Mississippi.

Cincinnati, there is a staff charged with conducting a national water pollution control training program.

The Division's field organization, aside from the Cincinnati activities, includes a staff in each of the nine DHEW Regional Offices--headed by, in each case, a Regional Program Director; staffs for comprehensive river basin studies, enforcement studies, and miscellaneous field projects located in various parts of the United States; and skeleton staffs located at those authorized laboratory sites where facilities are in various stages of construction. (As shown in Figure 3, two national water quality research laboratories and ten regional water pollution control laboratories have been authorized.)

Because of their direct relevance to the new Administration, the Division's organization and method of operation are considered in some detail in Section III of this report.

Current Status of the Federal Water Pollution Control Program

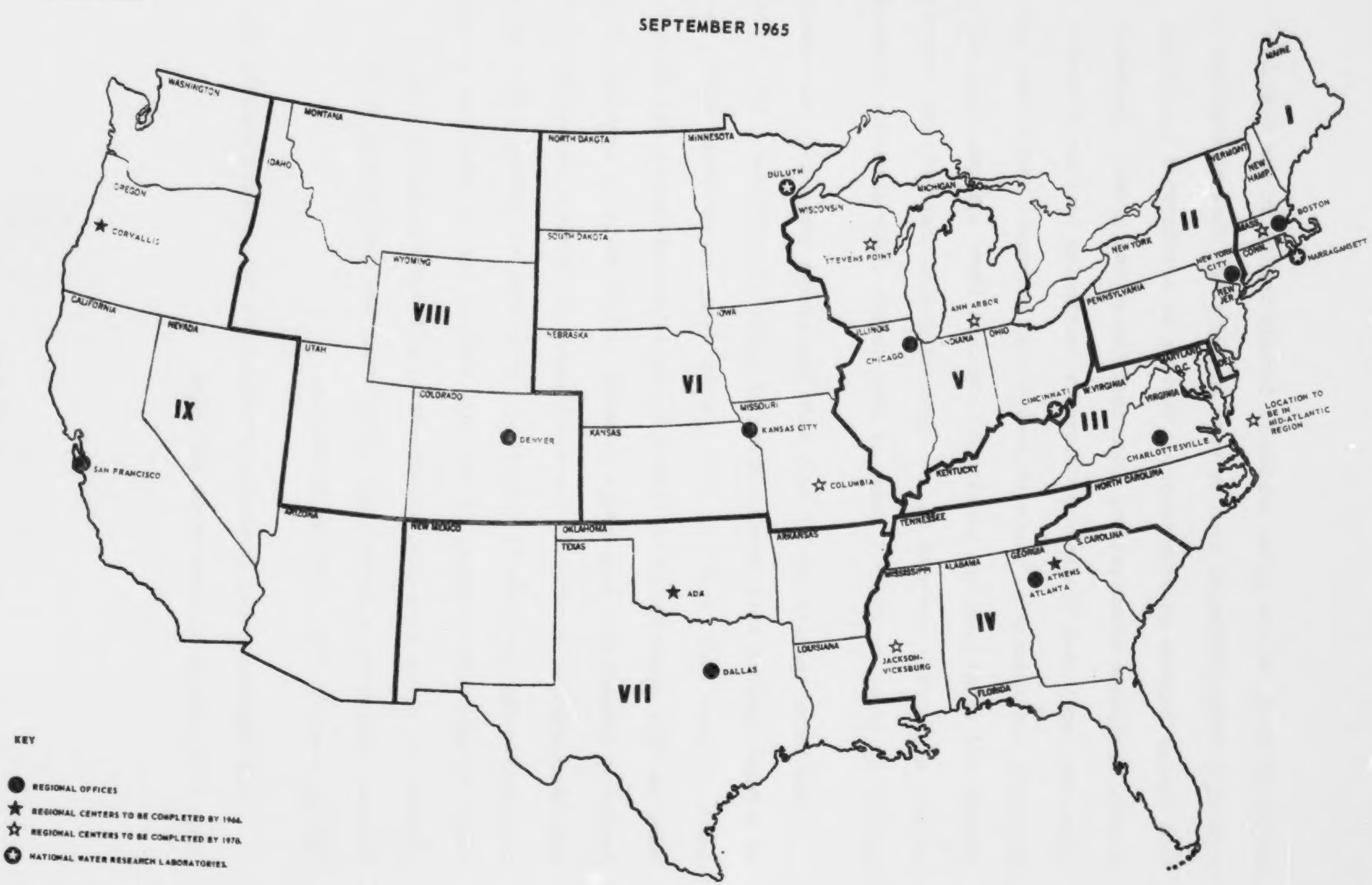
During the nine years since enactment of Public Law 84-660, there have been commendable achievements in the control and abatement of water pollution. Congressman John H. Blatnik has said that the Federal Water Pollution Control Act "has taken us from a situation in which untrammeled pollution threatened to foul the Nation's waterways beyond hope of restoration, to a point where we are holding our own." There are some authorities, however, who believe we may not be holding our own; that, as a

FIGURE 3

MAJOR FIELD ELEMENTS

FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

SEPTEMBER 1965


★ COLLEGE ALASKA
I
II
III
IV
V
VI
VII
VIII
IX
WASHINGTON
OREGON
CORVALLIS
CALIFORNIA
SAN FRANCISCO
NEVADA
IDAHO
MONTANA
WYOMING
UTAH
COLORADO
DENVER
ARIZONA
NEW MEXICO
NORTH DAKOTA
SOUTH DAKOTA
NEBRASKA
KANSAS
OKLAHOMA
TEXAS
ADA
DALLAS
MINNESOTA
DULUTH
IOWA
MISSOURI
KANSAS CITY
COLUMBIA
ARKANSAS
LOUISIANA
WISCONSIN
STEVENS POINT
MICHIGAN
ANN ARBOR
ILLINOIS
CHICAGO
INDIANA
OHIO
CINCINNATI
KENTUCKY
TENNESSEE
MISSISSIPPI
JACKSON-VICKSBURG
ALABAMA
GEORGIA
ATHENS
ATLANTA
FLORIDA
S. CAROLINA
NORTH CAROLINA
W. VIRGINIA
VIRGINIA
CHARLOTTESVILLE
MARYLAND
D.C.
PENNSYLVANIA
NEW YORK
NEW YORK CITY
NEW JER
LOCATION TO BE IN MID-ATLANTIC REGION
VERMONT
NEW HAMP
MAINE
MASS
BOSTON
CONN
NARRAGANSETT
KEY
● REGIONAL OFFICES
★ REGIONAL CENTERS TO BE COMPLETED BY 1966.
☆ REGIONAL CENTERS TO BE COMPLETED BY 1970.
✪ NATIONAL WATER RESEARCH LABORATORIES.

matter of fact, we are quite evidently further behind in our capacity to cope with water pollution than we were in 1956; and that we continue to fall behind because of such assorted factors as accelerated population growth, increased urbanization, increased industrial growth, increased urban and rural land drainage problems, a continuing backlog of needed municipal and industrial waste collection and treatment facilities, the growing and still unsolved problem of combined sewer systems, and, with it all, a dramatic increase in new types of wastes that defy our current ability to treat or control them, or even detect their presence in water.

The Water Quality Act of 1965 adds impressive weapons to our arsenal of defense against this growing array of pollution problems. But, if we are to do more than "hold our own" against them, in the years ahead, we must use this opportunity to establish--at both Secretariat and FWPCA levels--a formalized, long-range planning effort which is systematically and imaginatively focused on the development of feasible solutions to the most perplexing problems of pollution. With such an effort, means may be found to make real progress in not only abating but in reversing pollution; without it, there is a good chance--despite increased application of Federal authority, manpower, and funds--that the net quality of the Nation's waters will continue to decline.

The organizational proposals presented in this report include provision for essential long-range planning.

III

DEFICIENCIES IN THE ORGANIZATION AND MANAGEMENT OF THE DIVISION OF WATER SUPPLY AND POLLUTION CONTROL

In the conduct of the study on which this report is based, it soon became apparent to the Task Force that (1) there are major deficiencies in the present management and organization of the Division of Water Supply and Pollution Control, (2) with a few new officials and a relatively small increase in staff, the present officials and staff of DWSPC will, in fact, become the initial staff of the Federal Water Pollution Control Administration, (3) some present DWSPC officials will surely be offered senior positions in FWPCA, and, this being so, (4) some of the major management deficiencies of DWSPC almost certainly will become major management deficiencies of the new Administration unless they are clearly identified and unless firm steps are taken to guard against them.

The fact that significant organizational and management deficiencies exist in DWSPC has been emphasized to the Task Force by officials at every level of the Department, from the Office of the Secretary to the lower echelons of the Division itself. In describing the extent, nature, and causes of these deficiencies, the Task Force's informants almost uniformly have attributed responsibility for the deficiencies to certain Division officials--not in terms of their professional and technical competences, but in terms of their concepts of their jobs and of their methods of operation. It is believed that a clear understanding of the basis for such a conclusion is a prerequisite to informed consideration of the organizational proposals presented in this report.

The Division's basic problem--and the one from which most of its other significant problems derive--is that, for years, the present Division Chief has delegated virtually all of his authority and responsibility for program and administrative functions to his branch chiefs. This delegation has had the effect of depriving the Division of the over-all planning, programming, coordinating, and decision-making mechanisms which are essential to ensure that the complex activities of the water pollution control program are conducted in harmony and with optimum effectiveness.

In effect, the Division's substantive responsibilities have been divided seven ways (see Figure 1), and the seven branch chiefs have been instructed to see to it that the work gets done. Since most of the branch chiefs are, by repute and on the evidence, strong, professionally competent, and self-motivated men--especially those in the research, technical services, and enforcement areas--they have become, for the most part, quite independent in their operations. Each branch chief is apparently dedicated to making his part of the program a success. Some of them, however, are little if at all concerned with either the need for coordinated long-range planning of an integrated water pollution control effort, or a directly related need for Division-wide administrative and organizational improvements.

Some branch chiefs either ignore or deny the existence of the chain of command as they issue instructions to the field. For example, the Chiefs of the Enforcement and Technical Services Branches continuously issue instructions to subordinates of Regional Program Directors and Cincinnati unit chiefs. On occasion, without clearance either with each other or with the field chiefs involved, both have issued instructions to the same person and these instructions have been contradictory. When conflicts or disagreements develop between and among branch chiefs and field supervisors on these or other matters, the Division Chief simply expects that they will "work it out."

There does exist in the Office of the Division Chief some evidence of a desire for stronger front office involvement in the affairs of DWSPC, for the senior staff of the Office includes a Deputy Chief, a Program Officer, and an Executive Officer. But there is little indication that the roles of these officials have been given the strength and support they require.

For a period of about two years, the position of Deputy Division Chief was unfilled. When the present incumbent was finally appointed, the branch chiefs had long since become accustomed to the non-interference of the front office in their affairs. As a consequence, although he would clearly prefer it to have been otherwise, the Deputy Chief has had but modest success in his efforts to stimulate an awareness, on the part of each of the branch chiefs, of the clear need for a coordinated approach to the planning, programming, and direction of the Division's far-flung field affairs.

The Deputy Chief, formerly the Division's Program Officer, knows the value of short- and long-range planning and programming of complex mission activities, and he is still determined to make such efforts meaningful in DWSPC. In this, as in most other areas, the Deputy Chief relies heavily on the services of the Division Program Officer. But, despite their exertions, these two men have had neither the staff assistance nor the unswerving official support required for a truly productive planning and programming effort. And branch programs, for the most part, continue to be developed independently and with little regard for related activities throughout the Division.

The Division's Executive Officer position was also unfilled for an unreasonable period of time. Since his arrival, about three years ago, the Executive Officer has attempted to establish effective Division-wide administrative services and controls. These attempts have been noticeably less than successful. (In fairness, it should be observed here that, in many areas--such as personnel management, contracts management, and facilities management--the Division has neither the authority nor the staff to establish services and controls. The Division has been, and should have been, required to rely heavily on others for many of its services. On the other hand, there is no question that the Executive Officer, with proper front office support, should serve as the Division authority on all such matters, whether provided by his Office or through other means.) The larger branches, as a matter of fact, have been permitted to establish administrative staffs of their own--headed by relatively senior administrators. This fact, together with the strong delegation of authority to branch chiefs, has caused any attempt at over-all coordination and control in administrative areas to be either resented or ignored.

The laissez-faire attitude of the Division Chief, in this regard, has had some relatively undisciplined consequences. To illustrate: Organization and functions changes have been made without front office approval; new and unprogrammed field stations have been activated without prior authorization; an approved organization and functions statement for the Division has not existed for more than three years; no formally approved organization and concept for operations of the projected regional water pollution control laboratories exists, although at least one of these laboratories will be in operation before the end of the calendar year; a formal and coordinated directives system has not been developed, and each branch is free to promulgate its own field directives without front office clearance; and, although genuine and assumed automatic data processing needs are proliferating in the Division, no central and coordinated planning for meeting these needs exists. In addition, most branch chiefs show little or no concern, in the conduct of their programs, for established

Departmental policies and procedures in such administratively sensitive areas as procurement and contracting, use of consultants, and use of government travel authorizations.

DWSPC is, essentially, a jerry-built organization--one to which it is customary to add a new branch, other organizational subdivision, or staff assistant for each newly assigned function, without regard for the clear fact that the interrelationships of new with existing functions might reasonably result in consideration of and decision on other arrangements. This is illustrated by the presence, in the Office of the Chief, of approximately ten director grade and equivalent level civil service assistants to the Division Chief. These assistants have been added over the years as the Division Chief determined that a particular area--such as conservation, industry relationships, and health intelligence--needed special emphasis. After their employment, these individuals have been left largely to their own devices, with little or no direction from their Chief.

The Office of the Chief includes one relatively anomalous organizational element--the Executive Secretariat of the Water Pollution Control Advisory Board, which is chaired by the Assistant Secretary. The Executive Secretariat of this Committee, of course, reports to and works for the Assistant Secretary.

The jerry-built nature of the Division's organization can be further illustrated by considering the research and training grants function, which was given branch status when the function was assigned to the Division. Although the Federal Water Pollution Control Act makes it clear that such research and training are to be related, either immediately or ultimately, to the causes, control, and prevention of water pollution, no effort was made, on establishment of the new branch, and no action has since been taken--either organizationally or procedurally--to relate this function to the basic and applied research functions of DWSPC. As a consequence, the Chief of the Research and Training Grants Branch carries out his responsibilities with little if any reference to the mission responsibilities of the Division. Research and training grants are awarded on the basis of academic or scientific merit and need as determined by external review, and not on the basis of significant water pollution control research and training needs as determined by the Division. While most concerned officials in the Division believe that this activity should be more mission-oriented, there has been no disposition on the part of the Division Chief to direct such reorientation.

Despite the "scattershot" nature of the Division's distribution of its headquarters functions, it is, in most instances, possible to find someone or some organization giving attention to legislatively assigned functions. There are at least three such functions, however, for which this appears not to be true.

1. Section 5 of the Water Pollution Control Act, as amended in 1961, authorizes the annual appropriation of $5 million for grants to States and to interstate agencies to assist them in meeting the costs of establishing and maintaining adequate measures for the prevention and control of water pollution. While the amount of money is not large,

it has been the thought of Congress that judicious administration of this formula grant program would serve as a significant stimulant to the development of meaningful State water pollution control programs. Insofar as the Task Force can tell, however, this Congressional objective has not yet been achieved. The Task Force could find no one, either in the headquarters or in the field, who gives organized and consistent attention to the necessity for making this a meaningful activity--who either develops or applies meaningful criteria to ensure that the money granted to States is used for the intended purposes. As the grants program is presently administered, through Regional Health Directors of the Public Health Service, the Task Force understands that grants money is as likely to be used for dental and other health programs in individual States as for water pollution control purposes.

2. Section 3 of the Water Pollution Control Act, as amended, charges the Secretary with encouraging cooperative activities by the States for the prevention and control of water pollution; encouraging the enactment of improved and, so far as practicable, uniform State laws relating to the prevention and control of water pollution; and encouraging compacts between States for the prevention and control of water pollution. The Chief of the Division's Enforcement Branch has placed in writing a first-class statement of functions which should be performed in this area. But the Task Force understands that the press of enforcement duties results in little attention being given to this important function.

3. By Presidential and Bureau of the Budget directives, and by law, the Department now has modest responsibilities for seeking the cooperation of other Federal agencies in preventing or controlling the pollution of waters adjacent to Federal installations. Beyond this, both the Congress (in Senate bill S. 560) and the President (in a new draft Executive Order) are known to be moving in the direction of strengthening this activity. The Chief of the Enforcement Branch has developed a sound statement of non-engineering functions which should be performed in this area. But, as in the case of interstate cooperation and uniform State laws, he has been unable to give the attention to this activity which it requires.

The status of the Chief of the Enforcement Branch is interesting. His enforcement activity, of course, is of major importance in the Federal Government's water pollution control efforts, and, for this reason, has the highest public visibility of any of the Division's affairs. Even so, the Task Force finds it anomalous that this Branch Chief (1) is subject to virtually no supervision and control except that which is exercised, from time to time, by the Assistant Secretary and the Secretary, (2) is assigned responsibility for most of the Division's legislative affairs, and (3) had a Fiscal Year 1965 headquarters personnel authorization of 35, but controlled funds for the pay of 325 Division personnel--most of whom are required for the conduct of reconnaissance surveys and investigations, development of data for enforcement conference and hearing proceedings, and for staffing enforcement-related technical studies and projects.

Despite its outstanding importance and high public visibility, the activity of the Enforcement Branch is closely related to all other activities of the Division, and should be coordinated by the Division Chief. Beyond this, the legislative affairs of the Division are across-the-board in nature, and, as such, should be associated directly with the immediate office of the Division Chief. On the question of this Branch Chief's control of funds for the pay of several hundred Division personnel, it is important to note that most of these personnel are assigned to the staffs of other headquarters elements, the Technical Advisory and Investigations Section in Cincinnati, Regional Program Directors, and other officials. They are so assigned because the work they do is not legal but technical and scientific, and requires competent technical and scientific supervision. There is no question but that the Chief of Enforcement should, to the extent feasible, forecast the types and numbers of enforcement-related projects for a given budget year; and, of course, these projects and activities should be given all the technical and scientific support they require. But the Task Force seriously questions a philosophy of management which permits the Chief of the Enforcement Branch to use "his money" (as it is referred to throughout the Division) to control directly the manpower and related resources of other major Division activities, whether in the headquarters or in the field.

On the question of the Division's legislative affairs, alluded to in the preceeding discussion, it is understood that a small number of headquarters Division officials have fairly continuous direct relationships with Members of the Congress and with individual members of Congressional Committee staffs--relationships which are often independent of the knowledge or involvement of the Division front office. It is also understood that, in these relationships, unofficial views and positions are expressed which differ from official positions of the Division (to the extent that it has official positions) and the Office of the Secretary. In this and other respects (including the same kind of relationships with the staffs of national publications), the Division unquestionably presents multiple faces to the Congress and to the concerned public.

The chief thrust of the discussion in this section of the report has been to demonstrate that DWSPC is line, not staff, oriented. That is, the Division is organized, and it conducts its affairs, as though its entire function were to conduct--not to plan, program, direct, and conduct--field operations. This point can be underscored through some fairly precise illustrations.

1. Until fairly recently, the entire Basic and Applied Sciences Branch was located in Cincinnati, and it was the total business of this organization to conduct research. Not long ago, the Branch Chief moved to Division headquarters because he found himself spending more time in Washington than in Cincinnati. And even today, the Branch Chief has virtually no staff in Washington, and such staff as he has is oriented almost exclusively to the resolution of the field organization's administrative problems.

2. The Chief of the Technical Services Branch is primarily occupied with day-to-day problems arising from field technical services activities. Even in the present Division atmosphere, however, he is called upon to do a certain amount of staff work. To assist him in such work, he finds it necessary to rely upon the senior professional people assigned to his Technical Advisory and Investigations Section in Cincinnati, which has a strictly operational mission.

3. The chief thrust of Enforcement Branch effort is in the preparation for and conduct of enforcement proceedings, and the Branch Chief always leads such conferences. With the accelerating pace of such actions, this official has little if any time to devote to the immediate and long-range planning and programming of enforcement actions, the conduct of the Division's legislative affairs, fulfillment of his national-level responsibilities for Federal installations pollution matters, and the promotion of uniform State laws and interstate compacts.

4. The Washington staff of the Basic Data Branch is oriented almost exclusively to data collection and to the development and implementation of data storage and retrieval systems. In fact, except for the Chief and his Deputy, the Branch's Washington staff is devoted entirely to these activities. Two-thirds of the Branch's personnel--about 60 of a total of 90--are assigned to its water pollution surveillance unit in Cincinnati, Ohio, which is primarily concerned with the operational aspects of the Division's national water pollution surveillance system. Much of the unit's work is of a laboratory nature, although eight of its professional people are charged with the development

and evaluation of equipment and instrumentation intended for use in the surveillance system. Beyond this, the unit is frequently called upon, and is staffed, to provide professional manpower for unanticipated high priority Division technical assistance projects in the United States.

5. The attitude of some senior Division personnel toward the substantive activities of the projected so-called regional laboratories, is that Washington officials should directly supervise the particular elements of the laboratory concerned with their functions. In this same connection, such personnel also believe that the official to be designated as laboratory director should be, essentially, a housekeeper, and that he should have no authority to direct the mission affairs of his laboratory.

For all of the foregoing reasons, it is evident that most of the staff work accomplished in the Division headquarters is a product of the individual efforts of branch chiefs, the Deputy Chief, or the Division Program Officer, or is accomplished by senior operational officials in Cincinnati. One result of these unusual arrangements may be found in the fact that the Division has yet to produce a budget derived from an approved integrated annual program for Division operations, for there has been no such annual program. And there are other at least equally disturbing results of the Division's headquarters staff work deficiencies.

Both before and during the fact-finding stage of the study on which this report is based, the Organization Task Force was advised by a senior official of the Office of the Secretary that it would be unusual if the Task Force were to encounter two or more officials of DWSPC who have the same understanding of the current and projected roles, responsibilities, relationships, and methods of operation of Regional Program Directors, laboratories, operational elements in Cincinnati, and major elements of the Division headquarters. The Task Force study has confirmed this expectation.

Indeed, it is possible, as late as September 1965, to hear almost as many different answers to questions of this type as one can find DWSPC officials to answer such questions. This is so because, in the present organization, different answers are possible. To illustrate, the roles, functions, methods of operation, and relationships of Regional Program Directors are as varied as their professional motivations and energies would permit them to be.

Evidence on this point may be found specifically in the fact that the currently functioning Director of the Athens, Georgia Regional Laboratory (which is now being completed), was, not too long ago, the Division's Regional Program Director in Atlanta. When he moved to his Athens job, this official took with him a number of functions and projects normally associated with Regional Program Director responsibilities. Also pertinent, is the fact that, during the period of this study, the Regional Program Director in Chicago was designated as Director of the as yet non-existent laboratory at Ann Arbor, Michigan. On the basis of the Athens precedent, this official told the Task Force that he intends to take with him to Ann Arbor at least some of his current regional responsibilities.

There is no approved plan in Division headquarters which either forecasts or would permit such unilateral determinations, but there is, in the headquarters, precedent for letting an official take unto himself such duties as he is willing to perform, regardless of organizational boundaries.

The preceding paragraphs illustrate the fact that, in the field, as in the headquarters, there are senior DWSPC officials--especially Regional Program Directors--who prefer and are permitted to operate independent of supervision. Some of these officials--typically, self-motivated individuals of high professional competence--develop their own programs for an ensuing fiscal year and then hope that no one in Washington will have the temerity to review or suggest alteration of the programs. Should it happen that a Washington-level Division official takes exception to actions contemplated by such field programs, the field official may or may not accept the contrary judgment of his Washington superior.

Still in the field, DWSPC is plagued by responsibilities which involve dramatically uncertain and fluctuating workloads--in its comprehensive projects, enforcement studies and projects, unanticipated special projects, and the provision of more or less routine technical advice and assistance to Federal, State, and local government agencies, and to industrial and other private organizations. The Division has not yet found a way to efficiently manage these workloads.

Despite the fact that its over-all personnel authorization is continuously increasing, the Division, for example, finds itself in the paradoxical position of needing and recruiting personnel in one part of the United States while separating the same types of personnel in another. This situation can be illustrated by the fact that, at the inception of the Great Lakes-Illinois River Basin Project, personnel needs were acute and recruitment of competent civilian staff was difficult. During this past year, however, the study phase of this project has been phasing out in the Chicago and Cleveland areas, and at least some of the surplus civilian personnel have been dismissed from their jobs--despite the fact that needs for such personnel were concurrently developing in the Lake Huron segment of the same project. It is the judgment of the Task Force that better planning for the management of the Division's manpower resources has long been necessary.

To sum up, the Task Force concludes that the Division of Water Supply and Pollution Control lacks effective central direction, coordination, and control; organizational and administrative discipline; the means (including staff), the procedures, and the executive-level disposition to develop and exercise national-level supervision over the implementation of short- and long-range policies, plans, and programs for the conduct of its multitudinous and far-flung Federal water pollution control affairs; a systematic national-level approach to its responsibilities for pollution abatement at Federal installations and for promotion of uniform State laws and interstate compacts; mission orientation in the administration of its research and training grants responsibilities; implementable plans for division of responsibilities between regional office staffs and the projected regional laboratories; and, in point of fact, a headquarters staff of such composition and inclination as to provide, without significant change, a headquarters staff for the new Federal Water Pollution Control Administration. In short, the existing Division does not provide a sound organizational framework upon which to build the projected new Administration.

__NOTE__: The negative tone of the foregoing discussion is intended in no way to reflect upon the technical and scientific competences of the Division's professional personnel. The Task Force wishes to emphasize its impression that the Division's scientists and engineers--both its commissioned officers and its civil servants--are, in composite, one of the world's foremost accumulations of water supply and water pollution control talent. Thus, while the new Administration must conceive and implement an entirely different concept for the organization and management of its affairs, it will have no such problem in establishing a professional and technical manpower base for its mission activities.

IV

THE HUMAN HEALTH CONCERNS OF THE NEW ADMINISTRATION

In a separate supplement to this report (see footnote on page 1), the Task Force offers a conceptual and factual basis for, and recommendations concerning, the division of health-related functions between the Federal Water Pollution Control Administration and the Public Health Service. The supplement contains, among other things, complete statements of the differing views of the Public Health Service and the Division of Water Supply and Pollution Control on these matters.

While there is organizational significance, to both Public Health Service and the new Administration, in recommendations presented in the supplementary report, only two matters covered in that supplement bear directly on the findings and recommendations presented in this report. First, there is a need to establish the concern of the new Administration for the human health effects of water contaminants. And there is a need to respond to an implicit requirement that the Task Force identify any functions and resources of the Division of Water Supply and Pollution Control which should be retained by the Public Health Service. These, of course, are directly related matters, and satisfaction of the first need provides a basis for the satisfaction of the second.

The Task Force has concluded that neither the Public Health Service nor the new Administration can avoid concern for the human health significance of water contaminants. On the one hand, the whole existence of the Public Health Service is predicated on the concern of the Federal Government for the health of the citizens of the Nation. On the other hand, despite the role conservationists and others have played in Federal water pollution control efforts, the chief reason for the existence of a Federal water pollution control program is concern for the human health significance of water pollution. Evidence in support of this contention permeates both the records of hearings on the Federal Water Pollution Control Act and its amendments and the records of House and Senate debates on the Water Quality Act of 1965 and its predecessor legislation.

By the same token, neither Public Health Service nor FWPCA can avoid concern for the quality of public water supply sources, the quality of the Nation's waste and water treatment capabilities, the quality of water distribution systems, and the quality and effectiveness of research, development, and practical application of improvements in all of these areas.

The fact that these agencies have overlapping concerns for direct human health and human health-related matters has been further evidenced, to now, by the additional fact that DWSPC has been, for years, an integral part of the Public Health Service. The separation of water supply and pollution control functions from the Public Health Service should in no way be interpreted as a negation of the necessity for mutually supportive effort between the new agency and Public Health Service. Neither should it be interpreted in such a way as to require or permit the establishment, within each of the agencies, of duplicatory health and health-related activities.

The Water Quality Act of 1965 clearly requires that (1) standards of quality be established for all interstate waters of the Nation, (2) the Secretary of Health, Education, and Welfare ensure that "standards of quality established. . .shall be such as to protect the public health or welfare (and) enhance the quality of water," (3) all provisions of the Act (including the standards provisions) be administered through the Federal Water Pollution Control Administration, and (4) the head of the new Administration consult with the Surgeon General on the public health aspects of FWPCA's responsibilities. While these provisions of the Act clearly associate FWPCA with the health aspects of water supply and pollution control, they implicitly require a non-duplicatory division of health responsibilities between the Public Health Service and FWPCA. And, in the judgment of the Task Force, they implicitly permit decision by the Secretary that there shall be no duplication of the non-medical aspects of the Department's water supply and pollution control concerns.

The Task Force is persuaded that the water supply and water pollution control roles of Public Health Service and FWPCA should be determined in accordance with the following concept:

1. The Surgeon General should be encouraged in his efforts to establish a strong program of clinical, laboratory, and epidemiolocal research into the human health significance of water contaminants--that is, research to determine the human tolerance

levels of bacteriological, chemical, physical, and biological substances. The products of such research will provide a most important ingredient of the water quality standards which the Secretary must establish or approve for the Nation's waters. And, in this connection, these findings must be made available to the new Administration as a basis for some of its most important research, engineering, and technical endeavors.

2. The Commissioner of the new Administration, on the other hand, should be assigned the Department's non-medical responsibilities for water supply and pollution control. On research, engineering, and technical bases, he should be charged with the development, both in the laboratory and on major scale, of means for detecting, measuring, and removing contaminants from water--whether in macro- or micro-quantities. And he should be assigned all essential derivative responsibilities.

The approval and implementation of this simple concept is considered both desirable and necessary. It envisages a more mutually supportive effort, on the part of each of the concerned agencies, than has existed during the many years of DWSPC's membership in the family of Public Health Service organizations. It envisages continuous liaison, both at headquarters and at working levels, between the two agencies. And, not unimportant, it envisages a specific response to President Johnson's determination that the Federal Government should spend whatever is necessary--but "not a penny more"--to achieve the Nation's goals. (The President has asked, in seeking to guarantee full value for every public dollar spent, that agency heads be as ingenious in looking for areas of savings as they are in proposing new programs. In specific point, he has asked that savings be sought "in examining alternative least-cost ways to achieve....agency objectives." The Task Force believes that this dictum relates, and should be applied, to the division of water supply and water pollution control functions in the Department of Health, Education, and Welfare.)

At the beginning of this section of the report, reference was made to an implicit requirement that the Task Force determine whether DWSPC is performing any functions which should be transferred to the Public Health Service upon establishment of the new Administration. This requirement derives from Secretary Celebrezze's February 12, 1965, advice to the Surgeon General of the Department's intention to transfer to the new Administration all water supply and water pollution control functions of DWSPC "with the sole exception of any research activities which are so basic as to underlie the broad environmental health field." (See Appendix C, copy of a memorandum from the Secretary to the Surgeon General, subject "Transitional Planning Needed for the Creation of the Water Pollution Control Administration.") In the context of the Water Quality Act of 1965, as enacted by Congress, and in consideration of the fact that DWSPC is not performing clinical, laboratory, or epidemiological research into the human health significance of water contaminants, the Task Force has found no function--and, therefore, no related resource--of DWSPC which should be retained by the Public Health Service.

Recommendation

It is recommended that, pending definitive resolution of questions which have arisen concerning the division of health-related functions between the Public Health Service and FWPCA, it be agreed that:

a. Both agencies have legitimate concerns for the human health significance of water pollution and for the removal of harmful contaminants from water.

b. The primary water supply and pollution control role of Public Health Service is one of determining the human health significance of water contaminants; and the primary role of FWPCA is one of determining how to remove all contaminants from water.

c. With the reservation that its specific applications will be subject to further study and individual determination, this concept will be applied to the future assignment of water supply and pollution control functions to the two agencies.

d. Until Public Health Service is fully equipped to fulfill its responsibility for research into the human health significance of water contaminants, the Surgeon General--in consultation with the FWPCA Commissioner--devise an interim means for provision, to the new Administration, of information concerning the human health significance of specific water contaminants.

V

CONCEPT FOR THE ORGANIZATION OF THE FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

The Federal Water Pollution Control Administration will be founded on a mission currently assigned to the Division of Water Supply and Pollution Control. This mission, as expanded upon by the Water Quality Act of 1965, embraces responsibilities of great complexity and magnitude--responsibilities which involve:

1. Concern, either official or consultant-type, for virtually all of the surface and ground waters of the United States;
2. Relationships with a multitude of Federal agencies and their field organizations throughout the United States;
3. Relationships, on the site, with every State and territory, and with every municipality of significant size, in the United States;
4. Relationships, on the site, with countless industries, universities, and other private organizations and individuals;
5. Program and management concern for a growing array of field installations and activities involved in the conduct of intramural research, comprehensive programs, enforcement studies and projects, training, special studies and investigations, water quality and facilities data collection, and so on;
6. Program and management concern for an increasing number of mission-related grants-in-aid and contracting activities; and

7. In a much expanded way, concern for the provision of administrative and logistical support and services to widely dispersed field activities.

Since DWSPC's organization for performance of its mission has been tried and found seriously wanting, the Task Force has sought a more promising organizational concept for application to the new Administration. In its efforts to find or devise such a concept, the Task Force has sought means to avoid perpetuation in FWPCA of any of the organizational, management, and other deficiencies or problems of DWSPC; to accommodate the significant new water quality standards and demonstration grants functions assigned to FWPCA by the Water Quality Act of 1965; to permit unified and balanced management of all of the new agency's multitudinous affairs; and to effect the operating agency status prescribed for FWPCA by the 1965 Act--especially in the provision to the new agency of an optimum degree of administrative self-sufficiency. Beyond these things, the Task Force recognized that a meaningful concept of the FWPCA organizational structure should produce an organization which, without significant change: can accept new responsibilities and an expansion of existing responsibilities; will provide for an optimum division of labor and coverage of all mission functions with neither gap nor unnecessary overlap in the division of responsibilities; will facilitate communication across organizational lines and up and down in the organizational hierarchy; and will provide precise terms of reference for the roles, functions, relationships, and authorities of each of its elements.

Alternatives

Two alternative concepts for the organization of FWPCA have been considered--one which envisages virtually the whole of the new Administration, below the immediate level of the Commissioner, as a line-type organization, (hereinafter, for shorthand purposes, the "operational staff concept"), and another which envisages a staff-line relationship between the FWPCA headquarters and its field establishment (hereinafter, the "staff-line concept").

Under the operational staff concept, the head of an agency and his senior staff officials are all involved directly in the conduct of, or the exercise of line supervision over the conduct of, the mission activities of the agency. There are examples, in the structure of the Executive Branch of the Federal Government, of a seemingly effective implementation of this concept.

For instance, in the Department of Justice, senior officials of all of the Attorney General's seven major staff divisions (Tax, Civil, Lands, Antitrust, Criminal, Civil Rights, and Internal Security) are directly involved in the enforcement--to include the field investigation and the preparation and prosecution of cases of violation--of Federal statutes. Generally speaking, this type of direct involvement of senior staff officials in line affairs is characteristic of all of the Federal Government's regulatory, law enforcement, and lending agencies. For such agencies, the operational staff method of functioning may be entirely logical.

The Division of Water Supply and Pollution Control functions, in a mission sense, on a comparable basis. It too is an operational staff-type organization, and it has a unipurpose mission--that is, the work of the Division is addressed exclusively to the development or promotion and implementation of all feasible means for preventing or abating the contamination of the Nation's waters. Since the Division has complex and multiple means for the accomplishment of its single-objective mission, however, these means should be, but have not been, coordinated and directed in concert, and not as though they were ends in themselves. The fact is that the Division's organization and method of operation, as explained earlier, exemplify much that is deficient in a wholly operations-oriented organization. They cause confusion in the eyes of Government officials and the public at large as to who is in charge; they require that both major and minor problems be resolved in Washington, or result in their not being resolved at all; and they cause headquarters officials to become so immersed in the details of day-to-day field operations as to leave them with virtually no time, and with little inclination, for the performance of national-level functions. For these reasons, the Task Force has rejected the development of any organizational scheme based on such a concept of organization and operations.

The second organizational concept which the Task Force considered--the staff-line concept--provides, to the head of an agency, a headquarters staff to assist in planning and coordinating the agency's mission activities; and it emphasizes decentralization--that is, it emphasizes the delegation of authority and responsibility for the actual conduct of field operations to the organization's first echelon of field officials. Such a concept is best applied to programs of great complexity and diverse involvement with the Nation's public and private interests. The most noteworthy, and, at the same time, the most successful illustrations of the application of this organizational concept are to be found in the several echelons of the Department of Defense. The current and widely esteemed Office of the Secretary of Defense, itself, is organized on this basis, as are both the civilian and military staffs of Headquarters, Department of the Army and Headquarters, Department of the Air Force. Beyond this, all permanent subordinate headquarters of the Departments of the Army and the Air Force are similarly organized. This concept is widely emulated in both public and private organizations.

Adaptation of the staff-line concept of organization to the needs of FWPCA is considered, by the Task Force, to be mandatory. In terms of briefly stated advantages, an organization predicated on this concept would, as it should, focalize central direction and major decision-making authority in the head of the new Administration; create a framework and provide a staff for planning, programming, and coordinating the new Administration's multitudinous affairs; permit the Commissioner and his headquarters staff to focus their attention on means for attaining the agency's objectives, related matters of national significance, and the development of solutions to problems of major magnitude; place responsibility for supervision of day-to-day operations in the hands of field officials whose bases of operations are geographically proximate to involved public and private organizations and to the Nation's major water systems; and identify clearly to field clientele the DHEW and FWPCA apokesmen on water pollution control affairs in each geographical area of the United States.

Acceptance of the staff-line concept for the division of the new Administration's responsibilities entails acceptance of the corollary concept that there would be a "man in charge" at every level of the new Administration. Under this concept, the man in over-all charge would be the Commissioner, and, with few exceptions, no headquarters official below the level of the Deputy Commissioner would act for him on major matters affecting field operations. From the Commissioner, there would be clear-cut and well-understood channels for supervision and control of field activities. And, at each level of the hierarchy, there would be a man in charge, an official who would have clear authority and responsibility--within policies, plans, programs, schedules, priorities, and criteria established by the Commissioner--to direct the activities of his staff and of his subordinate organizations.

There are two major--although not overriding--disadvantages in applying this concept to the new Administration. First, it will be difficult to orient transferring DWSPC officials to what, for them, will be a new way of doing business. And, for this reason, it may pose some difficulties in staffing the headquarters of the new organization.

Conclusion

The Task Force concludes that, despite the disadvantages, the staff-line concept of organization should be applied to the Federal Water Pollution Control Administration.

In Section VI of this report, the Task Force develops the logic for a specific organizational proposal built upon the staff-line concept. While recognizing that, in terms of both specialization in the division of labor and organizational nomenclature, countless permutations and combinations of organizational arrangements are feasible, the Task Force offers but one headquarters organization proposal. This proposal has been sifted through the minds of so many knowledgeable people that it seems the best feasible, under the circumstances. For the field establishment, however, alternative arrangements are presented.

VI

PROPOSED ORGANIZATION OF THE FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

In the conduct of its study, and in all of its analyses, the Task Force has recognized that the Federal Water Pollution Control Administration, by the very nature of its assigned functions, will become primarily a field organization. Most of FWPCA's mission activities and personnel will be located in the field, and the degree to which the new Administration achieves its legislative mandate will depend, in large measure, on the success of its field operations. But the effectiveness of FWPCA field operations will, in turn, depend greatly on the effectiveness of FWPCA headquarters.

In the following subsection of the report, the FWPCA headquarters is discussed as an entity, with appropriate references to the field organization; and, in a later subsection, the FWPCA field establishment also is dealt with as an entity, with appropriate references to the headquarters. This relatively artificial treatment of the headquarters and the field is designed to facilitate both presentation and understanding of the fairly complex subject matter. By now, it should be apparent that no such artificial boundaries were observed in the Task Force study and in the development of organization proposals.

Proposed Headquarters Organization

In the development of its headquarters organization proposals, the Task Force has necessarily concerned itself with the possible role of the concerned Assistant Secretary. In the past, this official has directly supervised certain DWSPC activities. The Task Force believes that, in the future, direct administration of FWPCA's affairs should be left to the Commissioner, and the Assistant Secretary should concentrate on matters of fundamental national policy. In particular, the Assistant Secretary should devote his energies to the development of imaginative but feasible long-range plans for solution of a growing backlog of perplexing pollution problems--plans which, when supported and implemented, will ensure an improved quality of waters for all legitimate uses.

Staff support for the Assistant Secretary's planning activity should be furnished by the Commissioner. And, since he will certainly continue to chair the National Advisory Board, the Board's Secretariat should be transferred to the Assistant Secretary's office.

The Commissioner of the new Administration will require several kinds of staff assistance in his headquarters: assistance in the conduct of his legislative and public information affairs; assistance in the provision of a full range of administrative and logistics support and services to his headquarters and field activities; a point of advice and liaison on the health aspects of water supply and water pollution control functions; and, most particularly, professional assistance in the planning, programming, and coordination of his agency's mission activities. Beyond this, the Commissioner will require assistance in the direct performance of certain Administration functions which either cannot or should not be performed in and health affairs advisors; a programs office; and an office of administration.

Immediate Office of the Commissioner

In the immediate Office of the Commissioner, there will be the Commissioner, his Deputy and an Assistant Deputy Commissioner. With limited and specified exceptions, only these officials will issue authoritative instructions to field delegates of the Commissioner's authority.

COMMISSIONER. The Commissioner will be the principal advisor to the Secretary and the designated Assistant Secretary on water supply and pollution control matters and will actively direct and control all programs and operations of the Federal Water Pollution Control Administration. The Commissioner and his Deputy will make all major decisions on the establishment or change of Administration policies, plans, and programs.

DEPUTY COMMISSIONER. The Deputy Commissioner, for all purposes, will serve as alter ego to the Commissioner. He will have primary responsibility for supervising the day-to-day activities of the headquarters. In addition, with the assistance of the Assistant Commissioner for Programs, he will coordinate the interlocking water quality standards activities of the Associate Commissioners--who, as is pointed out later, will head the Commissioner's mission staff.

ASSISTANT DEPUTY COMMISSIONER. The Assistant Deputy Commissioner will assist the Commissioner in the day-to-day direction and coordination of field activities. He will be responsible, primarily, for receiving and developing coordinated staff solutions to operational problems brought to the attention of the headquarters by regional field officials--with particular emphasis on those problems requiring ad hoc decisions concerning the reallocation of field resources to accomplish unforeseen workloads and changing requirements. He will serve as the headquarters focal point for consultation with field officials on such matters, and will rely entirely on the resources of concerned elements of the headquarters staff in the accomplishment of his responsibilities. He will serve as Deputy Commissioner during that official's absence, and will act for the Commissioner during the absence of both that official and the Deputy.

Office of Programs

This Office will consist of the Assistant Commissioner for Programs, the Division of Plans, and the Division of Program Development and Evaluation.

The Assistant Commissioner and his staff are intended to play a major role in ensuring that policies, plans, and programs for the mission activities of the Administration, are forward-looking and feasible, and that they are fully coordinated, developed, and approved in sufficient time to serve as the authoritative basis for development of meaningful Administration budgets.

While the Assistant Commissioner will be responsible to the Commissioner for developing and recommending long-range objectives, plans, and programs, he will, in this role, have occasion to work frequently and informally with the Assistant Secretary concerned with pollution control activities. He will be responsible to the Commissioner for developing and recommending annual program guidance for headquarters and field officials; for coordinating the preparation of annual programs; and for reviewing, evaluating, and reporting on the effectiveness of program execution--i.e., for measuring program progress against established goals. He will develop and recommend guidance concerning, and exercise staff supervision over, the State program grants activities of regional staffs, with the objective of ensuring that funds made available to States for water pollution control programs are used for that purpose and in the most effective manner possible. In addition, the Assistant Commissioner will provide staff assistance to the Deputy Commissioner in coordinating the water quality standards activities of each of the Associate Commissioners.

Office of Administration

This Office will consist of the Assistant Commissioner for Administration and four Divisions--the Division of Financial Management, the Division of Personnel Management, the Division of Organization and Management Systems, and the Division of General Services.

The Assistant Commissioner for Administration will serve as the senior advisor and assistant to the Commissioner, and to his staff, on all matters relating to the personnel management, financial management, organization and systems, and general services needs of the Administration. He will provide, or arrange for the provision of, all essential administrative and logistics support and services for all elements of the Administration.

A separate Planning Group report will describe, in some detail, the administrative services needs of FWPCA. It must be emphasized here, however, that the Assistant Commissioner for Administration and his staff must be relied upon by the Commissioner as his principal instrument for the injection of essential organizational and administrative discipline into the affairs of the new agency--a discipline which, in the judgment of the Task Force, is sine qua non to the program effectiveness of the new agency. In this connection, the Commissioner should not permit the establishment of counterpart administrative competences in the bureau structure of his headquarters, for to do so would be both uneconomical and an incentive to bureau heads to function as independently as dc the current DWSPC branch chiefs.

Office of Public Information

This Office will consist of the Chief of Public Information and his staff. The Chief of the Office will serve in the traditional staff relationship as public information advisor and assistant to the Commissioner and as Administration spokesman to the press and the general public. He will emphasize, in his role as spokesman, the senior responsibilities and leadership roles of the Department of Health, Education, and Welfare and the Federal Water Pollution Control Administration in the Nation's water pollution control efforts. And he will continue the Department's "Clean Water Campaign" to inform the public concerning the importance of and the need for water pollution control.

Special Assistant for Legislative Affairs

The Special Assistant for Legislative Affairs will advise and assist the Commissioner and other headquarters officials on legislative affairs and Congressional relations, except those involving appropriations matters. He will coordinate the development of the Administration's legislative program, the preparation of special legislative reports and testimony on proposed legislation, and the development of replies to Congressional inquiries. He will provide official liaison with the Office of the General Counsel, in the Office of the Secretary, on legal matters.

The Commissioner will rely on the Special Assistant for Legislative Affairs to ensure that only officially approved views on legislation and related matters are presented to Members of the Congress on either formal or informal bases.

Special Assistant for Health Affairs

The Special Assistant for Health Affairs will advise and assist the Commissioner and all other concerned members of the Commissioner's staff on the human health relationships of the Administration's water quality standards, research, technical services, and related responsibilities. He will assist the Bureau of Research and Development in determining means for ensuring that there is made available to the Administration all extant information, from public and private sources, concerning the human health significance of contaminants of water. And, on matters of concern to more than one bureau of the headquarters, he will serve as the Administration's focal point for liaison with the Public Health Service and other public and private health organizations.

THE COMMISSIONER'S MISSION STAFF

It is proposed that the mission staff of the FWPCA headquarters be subdivided into four reasonably discrete bureaus, each to be headed by an Associate Commissioner. In the Task Force judgment, and in the judgment of officials with whom the matter has been discussed, this represents the optimum division of headquarters mission staff labor. Included are a Bureau of Technical Programs, a Bureau of Facilities Programs, a Bureau of Cooperation and Enforcement, and a Bureau of Research and Development. Except as noted in descriptions of the responsibilities of individual Associate Commissioners, the staffs of these bureaus will be oriented almost exclusively to staff work.

Associate Commissioners and the professional and technical personnel assigned to the Divisions of these bureaus will, with respect to each specified function, have at least the following responsibilities in common. (In later discussions of individual Associate Commissioners and their bureaus, the term "staff responsibility" is to be understood to encompass all or appropriate segments of this listing.) They will:

1. Assist the Commissioner, and work closely with each other, in the coordinated development of Administration-wide policies, plans, programs, budgets, schedules, criteria, priorities, and procedures, as appropriate--together with changes thereto--for the conduct of his field water pollution control affairs.

2. Determine--through field visits, inspections, review of reports, and other appropriate means--the quality and effectiveness of field operations, and develop and propose corrective actions and program changes when determined to be required.

3. Provide, on all matters for which they have staff responsibility, direct technical advice, consultation, and assistance to field officials.

4. Assist the Commissioner in the development and professional defense--at Secretariat, Bureau of the Budget, and Congressional levels--of plans, programs, budgets, and substantive legislative proposals.

5. Assist the Assistant Deputy Commissioner in determining means for the ad hoc reallocation of field resources to meet unscheduled and high priority needs for the conduct of field investigations, studies, and related projects.

6. Serve as the Commissioner's representatives on national-level committees and at national-level meetings and conferences involving other departments and agencies of the Federal Government and concerned public or private organizations.

7. Assist the Commissioner in the coordination of the Administration's affairs with concerned headquarters elements of other Federal agencies, including the Public Health Service.

It is emphasized that, despite exceptions to be noted in individual cases, these bureaus are staff--not line--organizations. As such, they will rely on the Office of Administration for all administrative and management services and support which they may require. Their organizations will include no office or individual whose sole duty is the consideration of such matters.

Bureau of Technical Programs

This Bureau will consist of the Associate Commissioner for Technical Programs and three Divisions--the Division of Comprehensive Programs, the Division of Enforcement Services, and the Division of Technical Services.

The Associate Commissioner for Technical Programs will serve as the principal advisor and assistant to the Commissioner and other Administration officials on, and will have staff responsibility for, the conduct of comprehensive programs; the conduct of scientifically and technically oriented enforcement studies and projects; the provision of technical advice and assistance to other Federal agencies, States, municipalities, and private organizations and individuals; the provision of advice to other Federal agencies on storage requirements in reservoirs for regulation of streamflow for water quality control purposes; the collection, organization, and dissemination of basic data, to include that data produced from water quality surveillance activities; and the conduct of technical training. In addition, he will provide staff support and technical advice to the Commissioner and other Administration officials, as required, on matters relating to the functions prescribed for the Department of Health, Education, and Welfare by the Water Resources Planning Act of 1965 (P.L. 89-80)--functions relating to the Water Resources Council created by the Act and to the river basin commissions authorized by the Act.

For the immediate future, the Associate Commissioner will exercise technical supervision (not direction) over the Administration's technical assistance, water quality surveillance, and training activities at Cincinnati. He will have a major concern for the planning and implementation of transitional arrangements involving these activities--especially as the so-called regional laboratories* prescribed by Congress develop related competences.

When quality standards are established for waters in any part of the Nation, the Associate Commissioner will have staff responsibility for all matters relating to the determination of the extent to which the quality of such waters is maintained. This staff responsibility will extend to concern for the collection, identification, and measurement of the kinds and levels of contaminants present, and to the determination of and reporting on the extent of quality maintenance, in affected waters.

Bureau of Facilities Programs

This Bureau will consist of an Assistant Commissioner for Facilities Programs and two Divisions--the Division of Facilities Construction Programs and the Division of Facilities Demonstration Grants.

The Associate Commissioner for Facilities Programs will be the principal advisor and assistant to the Commissioner on, and will have staff responsibility for, the technical and engineering aspects of FWPCA's program of grants for the construction of waste treatment plants, the review and evaluation of proposals for the construction of waste treatment facilities at Federal installations, and the review, evaluation, and approval of grants and contracts for the demonstration of new or improved methods for controlling the discharge of untreated or inadequately treated wastes from sewers which carry storm water or both storm water and sewage or other waste. The staff responsibility of this Associate Commissioner extends to ensuring that the specifications for all proposed waste treatment facilities (whether for Federal installations or municipalities), and for all demonstration grants and contracts, are considered in accordance with such quality standards as may have been established for the involved waters.

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* The Task Force notes that the Federal Water Pollution Control Act, as amended, requires the Secretary to "establish, equip, and maintain field laboratory and research facilities." It further notes that, in all DWSPC publications, the term "laboratory" is used to identify the legislatively prescribed regional facilities. The Task Force believes "laboratory" to be a misnomer for such regional facilities, since they will be involved in training, technical assistance activities, investigations and demonstrations, and basic data collection and manipulation, as well as research. For this reason, the Task Force proposes--and will use hereafter in this report--the more descriptive terms "Regional Water Pollution Control Center" and "Regional Center."

As an exception to the "staff responsibility" orientation of headquarters bureaus, this bureau will actually review, evaluate, and recommend approval of promising proposals for combined sewer research and demonstration grants and contracts. Since the combined sewer problem is, essentially, a "big city" problem, and since it exists largely in an area east of the Mississippi River and north of the Mason-Dixon Line, it will not be feasible to administer the grants and contracts authorized by the new $20 million program on a decentralized basis. Beyond this, central review is required to ensure that the relatively limited amount of money available for this program is applied only to the most promising of all proposed demonstrations. If the demonstration program proves successful, as is expected, it may ultimately lead to a large construction grants program. At such time, decentralization of program grants authority to regional staffs may be considered.

Bureau of Cooperation and Enforcement

This Bureau will consist of an Associate Commissioner for Cooperation and Enforcement and two Divisions--the Division of Federal and Interstate Cooperation and the Division of Enforcement.

The Associate Commissioner for Cooperation and Enforcement will serve as principal advisor and assistant to the Commissioner on, and will have staff responsibility for, those legislatively and administratively assigned functions (current and projected) relating to the promotion of interstate cooperation and uniform State laws, cooperation to control pollution from Federal installations (Washington-level, non-engineering responsibilities), and enforcement measures against pollution of interstate or navigable waters, to include all of the non-technical and non-research aspects of the Administration's responsibilities for application of water quality standards to interstate waters. (A much increased effort is required in the promotion of interstate cooperation, uniform State laws, and Federal agency cooperation.)

In the exercise of his responsibilities, this Associate Commissioner will determine requirements for, and recommend the priorities of, enforcement studies and investigations; and, requirements and approved priorities will be conveyed to the Associate Commissioner for Technical Programs, who will have staff responsibility for ensuring that such projects are initiated and completed when and where required.

The Bureau of Cooperation and Enforcement will serve as the focal point for negotiations with the headquarters of Federal agencies on Federal installations pollution problems, while the technical aspects of such responsibilities will be exercised by the Associate Commissioner for Facilities Programs.

This Bureau will prepare, obtain approval of, and ensure the promulgation of such Departmental regulations as may be required in relation to the Administration's water quality standards, enforcement, and Federal installations responsibilities. The scientific and technical content of such promulgations will be the staff responsibilities of the Associate Commissioner for Research and Development and/or the Associate Commissioner for Technical Programs.

On behalf of the Commissioner, the designated Assistant Secretary, and the Secretary, this Associate Commissioner and designated members of his staff, will preside over enforcement conferences and other proceedings, such as those relating to water quality standards, prescribed by the Federal Water Pollution Control Act, as amended. The Associate Commissioner will work through concerned regional staffs in making administrative arrangements for these activities. (At an appropriate time, consideration should be given to the decentralization to Regional Assistant Commissioners of responsibility for the conduct of less difficult conferences.)

Bureau of Research and Development

This Bureau consists of the Associate Commissioner for Research and Development and three Divisions--the Division of Basic Research, the Division of Applied Research, and the Division of Research and Training Grants.

The Associate Commissioner for Research and Development will be the principal advisor and assistant to the Commissioner on, and have staff responsibility for, all research and development activities of the Administration. Among other things, he will ensure that the Administration's extramural, as well as intramural, research activities are systematically and imaginatively focused on the development of solutions to the Nation's water pollution control problems. He will ensure that research and training grants and research fellowships are awarded so as to make the maximum contribution to the Administration's over-all program objectives. And, in his planning and programming, he will ensure that the research endeavors of Regional Centers, in composite, represent the best and most coherent intramural research program attainable on a decentralized basis.

As exceptions to the staff responsibility concept, the Associate Commissioner for Research and Development will exercise both technical and direct supervision over the national research activities of the Administration--initially over the National Research Laboratory at Cincinnati, and later, over the National Water Quality Research Laboratories at Duluth and Narragansett; and, he will provide directly for the review, evaluation, and approval of proposals for research and training grants and for research fellowships.

Finally, this Associate Commissioner will have primary staff responsibility for the development of water quality standards for all water uses, to include review, evaluation, and recommendations concerning standards proposed by State governments. On these and related matters, he will deal directly with public agencies (including the Public Health Service) and private organizations and individuals in his search for meaningful and precise ingredients for such standards.

Proposed Field Organization

Since FWPCA will begin operation with a large number of on-going field activities, and with several actual or firmly projected fixed field installations, a "carte blanche" in planning the field organization does not exist. Though they need not serve as absolute constraints to such planning, what exists in reality and in advanced planning or execution stages for the field (see Figure 3) must necessarily be given serious consideration in contemplating FWPCA's field organization. And there are other complex factors to be considered--so many, in point of fact, that the Task Force has developed a feeling of empathy for the DWSPC officials who have yet to develop a field organization plan which is either well understood by those who developed it or comprehensible to their Departmental superiors.

To facilitate discussion and comprehension of the rationale and content of its field organization proposals, the Task Force has distinguished between those existing and projected field activities which are regional and those which are national in scope and orientation. The nationally oriented activities pose the least problem and are discussed first.

NATIONALLY ORIENTED FIELD ORGANIZATIONS

For reasons implicit in the following discussion, the new Administration's nationally oriented field organizations--that is, the two projected national water quality research laboratories and the field staffs presently located in Cincinnati--can be considered separately from organizations and activities with a regional orientation.

National Laboratories

Initially, FWPCA will have no organizational problem with respect to the two projected national water quality laboratories, for they do not exist. Present schedules indicate that the construction of the Duluth, Minnesota facility will not be completed before the summer of 1967. And design and cost problems have served to delay completion of the Narragansett laboratory until some even later date.

When these two laboratories are operational, they will have functions which--even in the uncertain DWSPC environment--are fairly well-defined. They will not routinely become involved in daily field operations; rather, they will conduct research, and use all other means, to determine quality criteria and standards for all beneficial water uses. For both marine (Narragansett) and fresh (Duluth) waters, these laboratories will seek to develop reliable methodology for detecting, identifying and measuring pollutants; to determine the effects of pollutants on all beneficial water uses; to establish or seek agreement on allowable limits of water pollutants for each beneficial water use; and to continuously review and update water quality standards as water quality requirements and pollution problems change. In these efforts, the two national laboratories will not rely solely on their own research. They will seek the results of other pertinent research, to include that of the Public Health Service on the human health significance of water contamination. And they will evaluate all existing standards and proposed new standards (as, for example, those developed by State agencies) to determine their validity.

In all of these respects, the two national water quality laboratories will be serving directly the national-level water quality standards needs of FWPCA. For this reason, and as explained in the headquarters organization proposal, the directors of these laboratories should report directly to the Associate Commissioner for Research and Development.

Proposals Concerning Cincinnati Activities

The Division of Water Supply and Pollution Control's complex of activities in Cincinnati pose more of a problem for the somewhat distant future than for the period immediately following establishment of the new Administration.

As previously noted, there are four separate DWSPC organizational elements in Cincinnati. Each of them is essentially operational in character, and each reports, through a separate channel, to a Division superior in Washington. These field elements are the Division's research, water quality surveillance, technical advisory and investigations, and training staffs. Until the new national laboratories and Regional Centers are completed and in operation, these four staffs will be FWPCA's prime resources in their respective areas, and each of them will continue to have a "whole-Nation" orientation.

The research staff includes about 150 professional and support personnel. As virtually the entire intramural basic and applied research competence of the new Administration, on activation date, this staff's research activities will range, as they do now, from very basic research endeavors through the development of means for applying the results of its research. These research efforts, which should extend initially to water quality standards development, are national in orientation and thus not subject to regional administration. Neither are they closely related to the responsibilities of other Cincinnati staffs. For these reasons, the Task Force proposes that the research organization be redesignated as the Cincinnati National Water Research Laboratory and that its director be subject to both the technical and line supervision of the Associate Commissioner for Research and Development.

Wherever needed in the United States, the technical advisory and investigations staff (more than 80 professional and support personnel) provides scientific, engineering, and technical assistance, on water supply and pollution control matters, to State and interstate agencies, municipalities, other Federal agencies, and private organizations and individuals; and provides technical advice and assistance to staffs of comprehensive projects, enforcement projects, and special field projects. It evaluates research findings to determine their applicability to specific problems of water pollution and demonstrates the application of such findings to the problems. And the staff prepares and disseminates pertinent technical reports. This technical assistance organization is a unique resource. Its professional personnel complement includes a number of individuals who are national authorities in their fields. At the moment, a few of the senior members of this staff are heavily relied upon, by DWSPC, for the accomplishment of headquarters technical services staff work. The new Commissioner will no doubt find it both desirable and necessary to transfer a small number of these people to FWPCA's Bureau of Technical Programs. More importantly, for the foreseeable future (at least until Regional Centers blanket the United States), the Commissioner will need to maintain and use this significant reservoir of senior competences essentially as it has been used in the past.

The water quality surveillance staff (about 60 professional and support personnel) is responsible for an operation which involves the collection of frequent samples of surface waters at more than 120 strategic points throughout the United States. These samples are flown or otherwise sent to the surveillance staff's Cincinnati laboratory where they are analyzed to determine their biological, chemical, and physical characteristics, and where data is organized and maintained for provision, when needed, to those who have use for it. Beyond this, the staff designs and develops equipment and instrumentation systems--and evaluates systems produced by others--for collecting, recording, transmitting, and analyzing water quality and pollution data. And, as noted earlier, this staff is frequently used interchangably with the technical advisory and investigations staff in meeting unanticipated and high priority technical assistance needs in the United States. On an evolutionary basis, it is certain that some of the responsibilities of this staff will be absorbed by Regional Centers--but, for the foreseeable future, it should be continued as the water quality surveillance arm of the new Administration. In the meantime, in consideration of the degree of similarity and interchangability of the staffs of this unit and the technical advisory and investigations unit, it will make organizational and management sense to subordinate these staffs to a single Cincinnati-located Director.

The training staff of DWSPC (almost 20 professional and support personnel) provides intensive, highly specialized, and advanced-level courses of instruction for engineers, chemists, and other scientists from Federal and State agencies, municipalities, and industries. These courses are of such nature, content, and level as to be national rather than regional in scope. Thus, even when regionally focused training capabilities exist in Regional Centers, need will continue for this national-level training competence and staff.

Since there is a reasonable unity of purpose in the water quality surveillance, technical advisory and investigations, and training staffs located at Cincinnati; since plans, policies, and programs relating to their activities will be developed by the same headquarters organization--the Bureau of Technical Programs; and since, to the extent feasible, there should be a "man in charge" of related activities at the same location, the Task Force has concluded that these elements, on activation of FWPCA, should be (1) constituted as the Cincinnati National Technical Services Center, and (2) at least initially, subject to the technical supervision of the Associate Commissioner for Technical Programs.

In the distant future, other arrangements may be required in Cincinnati. In the research area, for example, there is no question but that fully operational national laboratories and Regional Centers will have some impact on the character of the research mission of the proposed Cincinnati National Water Research Laboratory. In the Task Force view, a major immediate and future mission of this Laboratory should be accelerated and intensified exploration of the promise of advanced waste treatment. Beyond this, consideration has been and should continue to be given to association of a range of Cincinnati's research and other professional and technical talents with the water pollution problems of the Ohio River Valley.

The functions initially to be associated with the proposed Cincinnati National Technical Services Center also may be affected by fully operational Regional Centers. In the Task Force view, however, the technical assistance and training functions should continue for the indefinite future. The technical assistance staff is seen as a long-term source of unique and senior skills which can be applied to regional problems of such difficulty as to be beyond the competences of regionally oriented staffs to solve. Beyond this, the technical assistance staff should be large enough to provide a reservoir of talent on which the Commissioner can draw to meet unexpected workloads, wherever they occur, throughout the United States.

Much of the laboratory work of the Cincinnati water quality surveillance staff should eventually be decentralized to Regional Centers. But the Administration will continue to require, at the very least, a highly competent staff for the development and evaluation of ever more sophisticated equipment and instrumentation for use in the surveillance of waters to which quality standards have been officially applied.

As mentioned earlier, the national-level training activity should continue for the indefinite future. It could be, moreover, that its functions should be expanded. For, in respect to relatively common subjects to be taught in Regional Centers, it would make good professional and management sense to have a central source for the development of common course materials, training manuals, and training aids.

This discussion of FWPCA's immediate and projected needs in Cincinnati would be incomplete without reference to the fact that DHEW is committed to continued use of the Robert A. Taft Sanitary Engineering Center (actually, the laboratory building at 4676 Columbia Parkway) for FWPCA purposes. Through official budget channels, Congressional liaison channels, and the press, the Department has indicated that the Taft Center will continue to be used for its traditional water pollution control purposes. (This commitment, in some of its forms, has included reference to a continuing requirement, in the Center, for the services of 400 or more professional and support personnel.)

REGIONALLY ORIENTED FIELD ACTIVITIES

The most crucial organizational problems to be faced by the new Administration will be those which relate to its current and projected regionally oriented field activities.* The major day-to-day work of FWPCA will be accomplished by these activities, and they will be staffed by a substantial majority of FWPCA's professional, technical, and support personnel.

Organizational Considerations

As noted earlier, there are many complex factors to be considered and sorted out in determining rational and coherent organizational arrangements for regionally oriented field activities. These are the most important ones:

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* "Regionally oriented field activities" refers to all FWPCA field organizations, staffs, and individuals--whether or not located at fixed installations--which will be involved in water supply and pollution control matters of concern to States, groups of States, river basin areas, municipalities, and private organizations. As used both here and hereafter in this discussion, the term "region" and its variations are not to be construed as referring only to DHEW regional areas.

1. Current and projected activities are multitudinous. They include: staffs under Regional Program Directors in each of the nine DHEW Regional Offices; ten projected Regional Water Pollution Control Centers; nine on-site comprehensive river basin planning projects, with associated field stations; eight on-site enforcement studies and projects, with associated field stations; and numerous technical assistance studies and projects scattered throughout the United States--including, for example, on-site acid coal mine drainage studies in Appalachia; on-site studies to evaluate the actual or potential effects on water quality of intensive use of watersheds and reservoirs for recreational purposes; and on-site studies to determine the reasons for fish and wildlife kills.

2. All projected Regional Centers are non-existent. While some are under construction (and even partially staffed), neither these nor the Centers on the drawing boards blanket the United States. In fact, more than two million square miles of the contiguous United States, essentially west of the Mississippi River, will contain only two Regional Centers by 1967. (See Figure 3.) And there is no plan which can be considered official to much improve this situation in the foreseeable future. In fact, Congress--not DHEW--has controlled the number and location of such Centers. Of three new Centers authorized by the Congress during the summer of 1965--Vicksburg-Jackson, Mississippi; Columbia, Missouri; and Stevens Point, Wisconsin--only the Missouri location was selected at a time and place of the Department's choosing.

3. Some activities are, for all practical purposes, permanent; others are impermanent. Regional Staff and Regional Center activities

may be considered as permanent. Although major in importance and often requiring years for completion, comprehensive projects and enforcement projects are essentially impermanent activities.

4. Current and projected activities involve ministerial and consultant- or university-type responsibilities and relationships.

a. Activities with ministerial responsibilities exercise the authority of the Secretary in evaluating and rendering decisions on proposals for grants of Federal funds; in establishing the objectives and methods to be used in the conduct of comprehensive and enforcement projects; in seeking State and local cooperation on all pollution control matters; and in working with other Federal agencies on such matters as reservoir planning and controlling pollution from Federal installations. (Note that these are essentially DWSPC Regional Program Director responsibilities.)

b. Activities with consultant- and university-type responsibilities, upon request, advise and assist public and private organizations in the solution of all types of water supply and pollution problems. They conduct requested investigations, field demonstrations, and studies. They offer regionally-oriented technical training opportunities to officials and staffs of State, local and public agencies concerned with pollution control. And they conduct research oriented to solution of regional water pollution problems. Activities with these orientations offer Federal expertise and resources, not Federal authority, as a means for solution of water supply and pollution problems. (Note that these are essentially Regional Center responsibilities.)

5. Some activities are oriented to States and their political subdivisions; others are oriented to river basins. Federal grants activities, for example, are focused on States as entities. Comprehensive planning, on the other hand, concerns river basins; and, to date, it has been assumed that Regional Centers will have river basin orientations. But even Regional Centers will find it necessary to maintain relationships with State and municipal agencies, and such relationships for comprehensive programs are absolutely essential. As can be seen on Figure 5, river basin boundaries coincide, in no instance, with State boundaries.

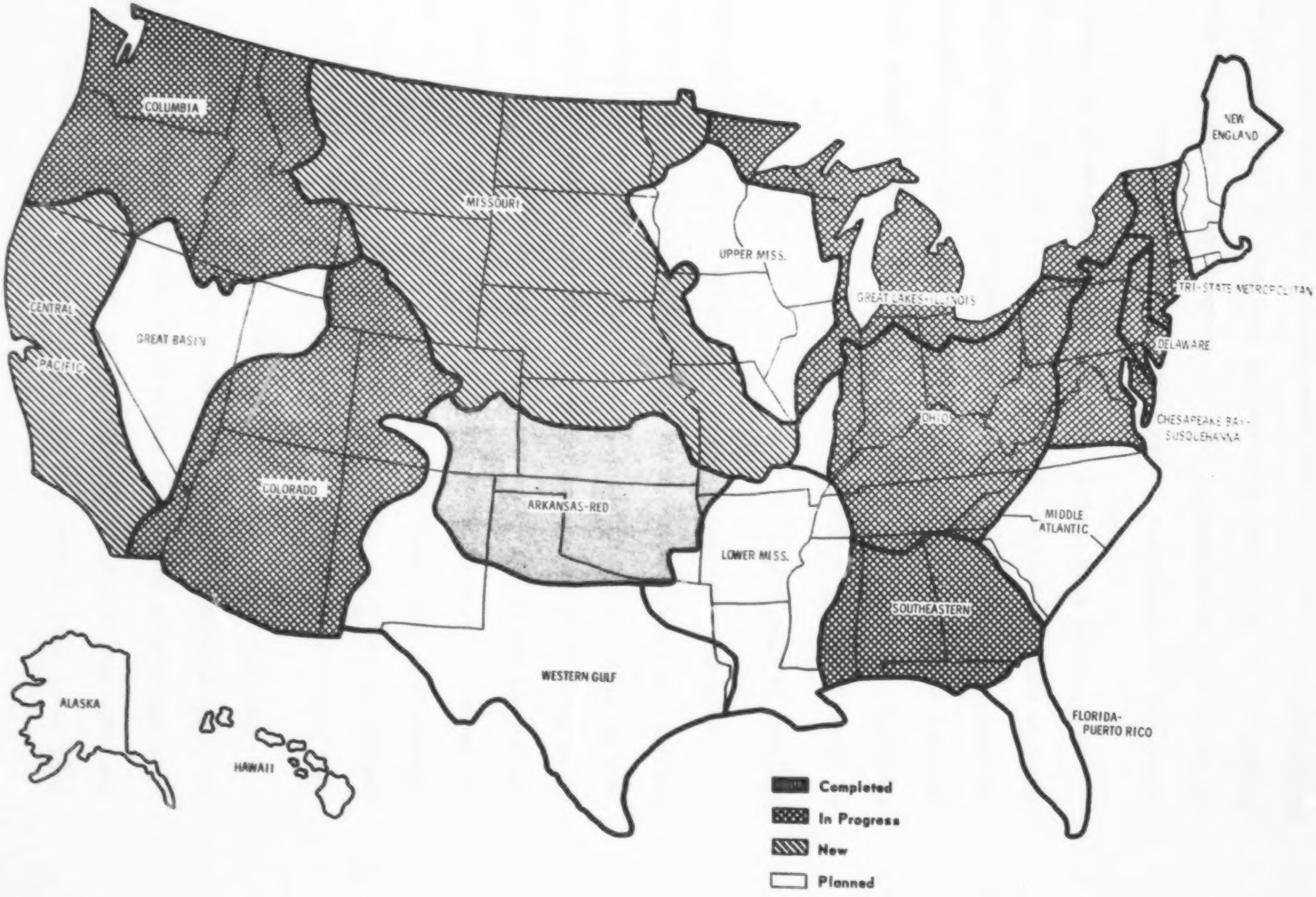
These varied considerations, carefully applied, point the way to a regionally oriented field structure for FWPCA which can be both operational and effective during the early months of the life of the new agency. As should be apparent, practicality dictates that initial organizational arrangements be structured from what is feasible--but with a perspective as to what is desirable.

The FWPCA field organization problem is not, of course, one of determining the elements of that organization (comprehensive projects, enforcement projects, Regional Centers, and so on), for they are prescribed. It is not, in the judgment of the Task Force, one of determining whether there should be Regional Program Staffs, for these are essential. Rather, the field organization problem is one of determining how best to provide for the decentralized day-to-day management and control of all regionally oriented field activities, and how these activities should relate both to each other and to the Washington

FIGURE 5

COMPREHENSIVE PROGRAMS

FEDERAL WATER POLLUTION CONTROL PROGRAM
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
JULY 1965


COLUMBIA
MISSOURI
UPPER MISS.
GREAT LAKES-ILLINOIS
NEW ENGLAND
TRI-STATE METROPOLITAN
DELAWARE
CHESAPEAKE BAY-SUSQUEHANNA
OHIO
CENTRAL
PACIFIC
GREAT BASIN
COLORADO
ARKANSAS-RED
LOWER MISS.
MIDDLE ATLANTIC
SOUTHEASTERN
WESTERN GULF
FLORIDA-PUERTO RICO
ALASKA
HAWAII
Completed
In Progress
New
Planned

headquarters of FWPCA. In this same context, the problem requires determination of an optimal geographical groupment of field activities--one which will be manageable from the perspectives of both the Comissioner and his designated senior echelon of field managers.

Alternative geographical and management arrangements are presented later in this discussion. First, however, it is desirable to consider the division of responsibilities between Regional Program Staffs and Regional Centers. For, the Task Force has concluded, major field responsibilities of the FWPCA Commissioner should be divided between the heads of those relatively permanent organizations.

Regional Program Staffs

It is the consensus of those interviewed by the Task Force that all FWPCA field functions involving formal Federal-State relations and inter-Federal agency relations should be assigned to Regional Program Staffs. There is no such consensus, however, on the assignment of responsibility for comprehensive and enforcement projects. A few officials believe that the heads of these projects should report directly to Washington. Others believe that they should be subordinated either to the heads of Regional Centers or the heads of Regional Program Staffs. Generally speaking, such projects are now subordinated to DWSPC Regional Program Directors.

The Task Force, after careful study, has concluded that the conduct of comprehensive and enforcement projects involves the direct and mandatory application of Federal authority in establishing the objectives, content, and methods to be employed in the conduct of such projects; and, since they involve extensive and authoritative relationships with

State and municipal agencies and private concerns, they can best be managed by senior regional officials clearly associated with the authority of the Federal Government.

It is concluded then, that the heads of FWPCA's Regional Program Staffs should, whatever the geographical boundaries of FWPCA regions, serve as the official regional representatives of the Secretary and the Commissioner in the exercise of all ministerial-type responsibilities for the Federal water pollution control program. This would require, among other things, that they supervise and direct, from a program point of view, the heads of comprehensive and enforcement projects whose headquarters are located in their regions. Since comprehensive and enforcement projects may well involve waters of more than one region, the Commissioner should assign such projects to the heads of Program Staffs in regions which have dominant concern for involved waters.

Since, in this context, the heads of Regional Program Staffs would be full-fledged regional counterparts of the Commissioner, the Task Force concludes that they should be designated "Regional Assistant Commissioners." This title will be used, as appropriate, throughout the remainder of this discussion.

The responsibilities proposed for Regional Assistant Commissioners are shown in the left column of Figure 6 and are described in issuance-type language in Appendix D.

Regional Water Pollution Control Centers

The Task Force concludes that the directors of Regional Centers and their staffs should be charged only with the consultant- and university-type

FIGURE 6

PROPOSED DIVISION OF MAJOR FIELD RESPONSIBILITIES

REGIONAL PROGRAM STAFFS

- Comprehensive Programs
- Enforcement Projects
- Construction Grants
- Program Grants
- Interstate Relations
- Federal-State Relations
- Federal Agency Relations
  - Interagency Activities
  - Reservoir Planning
  - Pollution Abatement at Federal Installations
- Facilities Inventory

REGIONAL WATER POLLUTION CONTROL CENTERS

- Applied Research
- Technical Training
- Technical Assistance
  - Assistance to State, Local & Private Agencies
  - Investigations
  - Field Demonstrations and Studies
  - University Liaison
- Water Quality Surveillance

responsibilities and relationships which were previously described and which are summarized in the right column of Figure 6. In no case should these officials be assigned responsibilities which will require the mandatory invocation of Federal authority. In an atmosphere of helpfulness and cooperation, their expertise and resources should be made available to, and be applied on behalf of, those who need and request them.

An issuance-type statement of the functions proposed for Regional Water Pollution Control Centers is presented in Appendix D.

Alternative Geographical Arrangements

In theory, alternatives exist for the regionalization of FWPCA's field activities--alternatives involving groupments of States, groupments of basin areas, or some combination of State-basin groupments. As a practical matter, when considering the imminence of FWPCA's activation date, these alternatives are more apparent than real.

The logical focal point for administration of field activities on a basin basis would be Regional Centers. But, for two obvious reasons, this is an impossibility. First, no more than four of these Centers (including one in Alaska) will exist during the early months of the life of the new Administration, and FWPCA requires activation date organizational arrangements. Second, even when all of the currently authorized Centers are fully operational--which may be the case by 1970--they will be distributed too unevenly (see Figure 3) to provide reasonable points from which to exercise the ministerial-type responsibilities of FWPCA.

If, in the future, the new Administration finds it both desirable and feasible to establish additional Centers--particularly in the void which exists between Stevens Point, Wisconsin and Corvallis, Oregon, in the northern half of the United States, and between Ada, Oklahoma and the Pacific Ocean, in the southern half of the United States--it will be possible to reconsider this conclusion. (Since water supply and pollution problems can best be understood, studied, and acted upon on a river basin basis, there are some authorities who believe that Federal water pollution control programs can best be administered on such a basis. On the other hand, as is evidenced by the approaches underway to control and reverse the pollution of the Great Lakes, solutions to major water supply and pollution problems are most effectively sought through Federal-State-local-private agency cooperation, undertaken in an authoritative environment.)

It might, of course, be considered desirable to organize on a basin basis, to establish a number of new regional offices, and to identify each of these offices with one or more river basin areas. From the standpoint that pollution control and abatement must be oriented to the problems of basin areas, this would be a desirable arrangement. But from the standpoint of administration of the Federal water pollution control program--at least at the outset--it would pose major difficulties. First, it would pose site-selection, organizational, and staffing difficulties which could not possibly be overcome by the activation date of the new Administration. Secondly, for all but five States, it could require that State governments deal with from two to as many as four representatives of FWPCA on water pollution control matters. (Note, on Figure 5, that the State of Colorado includes parts of four river basin areas.) And, since State boundaries would not define their areas of responsibility, Regional Staffs would be confronted with formidable difficulties in the administration of formula-based construction and State program grants activities.

As a practical matter, it would be both unreasonable and undesirable, at the time of activation of the new Administration, to consider establishment of new geographical boundaries and new locales for the decentralized management of FWPCA's field affairs. The DHEW Regional Office is the only logical base for first-day direction of FWPCA's regionally oriented field activities.

The DHEW regional structure is rational in that it subdivides the United States, for program purposes, into comprehensible and manageable segments. In each DHEW region, the DHEW Regional Office is clearly identified, by public and private agencies, as the focal point for administration of most of DHEW's mission affairs--including, today, DHEW's water pollution control affairs. In the water area, State health and water agencies, within each region, are accustomed to dealing with Public Health Service and DWSPC Regional Office Staffs. Similarly, regional representatives of concerned Federal agencies, and representatives of local, private, and public organizations associate these Regional Offices with the Department's water supply and pollution control responsibilities. And Public Health Service's regional staffs are located in DHEW Regional Offices--staffs with which FWPCA's regional representatives should work closely. To avoid disruption in the conduct of current regional programs and activities, to prevent confusion on the part of FWPCA's public and private clientele, and to provide for an optimal and manageable geographical groupment of FWPCA's regionally oriented activities, the Task Force concludes that there is no alternative to FWPCA's initial management of these activities from the DHEW Regional Office vantage point.

Alternatives for Control of Regional Centers

Directors of Regional Centers, as previously noted, should have full responsibility for all mission activities of their Centers. Within policies, plans, programs, and other guidelines promulgated by the Commissioner, they should be responsible for supervising the day-to-day activities of their research, training, technical assistance, and other staffs. And these officials should have reasonable delegations of administrative authority--in areas of personnel management, financial management, procurement and contracting, and general administration. But to whom should these officials report?

As the Task Force sees it, there are three alternatives. They could report directly to Washington; they could report, at least initially, to their nationally oriented field counterparts in Cincinnati; or they could report to Regional Assistant Commissioners.

There would be a certain logic in placing Regional Centers under the direct supervision of FWPCA headquarters. For one thing, it would facilitate and expedite essential two-way communications. It would provide a very senior organizational status for both Centers and their directors and, at the same time, would enhance the civil service grade and scientific salary potentials of Center directors and their research chiefs. On the other hand, such reporting would create an unreasonably large span of control for the Commissioner, would involve the headquarters in the resolution of minor as well as major problems in day-to-day administration of Center affairs, and would contribute to the establishment of a divided Federal water pollution control "image" in the field. This alternative seems unacceptable to the Task Force.

Another possibility would be for the Center directors to report to a "Regional Center Headquarters" at Cincinnati. Since the FWPCA staffs at Cincinnati will represent, for a long time to come, the senior operational research, technical assistance, training, and data collection resources of the new Administration, competence would certainly exist there for the exercise of such supervision. And considerable flexibility would result from the establishment of, in effect, a research and development command. But this arrangement would have a number of disadvantages--including the distraction of Cincinnati officials and staff from their nationally oriented missions, the creation of a "rival" headquarters, the fostering of poor communications between Regional Program Staffs and Regional Centers, and the creation of a divided water pollution control image in the field.

Finally, Center directors could be subordinated to Regional Assistant Commissioners. This would have the significant advantage of identifying a senior representative of the Commissioner with all regionally oriented functions of a given region, and of permitting an integrated and central management of all regionally oriented water pollution control affairs. It would maximize decentralization of authority to the field, minimize the Commissioner's span of control, and identify, to all of FWPCA's public and private clientele, the Commissioner's "man in charge." In terms of disadvantages, such an arrangement would, of course, lengthen the line of communication between Centers and the headquarters and could have a depressing effect on the grade structure of the Centers.

It is the Task Force judgment that delegation of authority and responsibility, to Regional Assistant Commissioners, for all field operations, to include those of Regional Centers, will offer the strongest and most unified possible approach to decentralized field management and conduct of FWPCA's regionally oriented field affairs. This arrangement will establish, in each region, a clearly recognized Federal leader in the field of water pollution control--one who is concerned with all water supply and pollution problems in the region and who has a full delegation of authority to apply the resources and authority of the Department of Health, Education, and Welfare to solution of these problems.

Summation of Proposed Regional Arrangements

In summary, the Task Force proposes that FWPCA's regionally oriented field activities be compartmented and managed as described below and as depicted graphically on the lower portion of Figure 4.

1. FWPCA Regions. For the foreseeable future, DHEW regional boundaries will be accepted as geographical boundaries for the decentralized management and conduct of FWPCA's regional affairs, and DHEW

Regional Offices will be duty stations for FWPCA's Regional Program Staffs.

2. Regional Assistant Commissioners. These officials will be appointed and delegated full authority and responsibility for the day-to-day supervision of all FWPCA regionally oriented field activities headquartered in their regions--to include Regional Program Staffs, Regional Centers, and staffs of comprehensive and enforcement projects. This authority is to be exercised within policies, plans, programs, budgets, priorities, other guidelines, and resources provided by the Commissioner. In addition to their other duties, Regional Assistant Commissioners will maintain liaison with DHEW Regional Directors, other DHEW regional personnel, and personnel of other agencies and organizations, both private and public, to further the water pollution control programs of the regions. And they will coordinate with other Regional Assistant Commissioners on those activities which cross regional boundaries.

3. Regional Program Staffs. These staffs will function under the direct supervision and control of Regional Assistant Commissioners. They will provide advice and assistance in these areas:

a. Review and approval of requests for grants for the construction of waste treatment plants, and determination as to whether the resultant plants meet and maintain intended pollution control effectiveness.

b. Review and approval of requests for State program grants, and follow-up to ensure that effective use is made of such grants.

c. Determination as to the adequacy of pollution control measures proposed for new and existing Federal installations.

d. Promotion of interstate and intermunicipal cooperation in pollution control endeavors.

e. Review and determination as to the pollution control effects of reservoirs and other water impoundments proposed by other Federal agencies.

f. Development of arrangements for enforcement proceedings--such as conferences and hearings--to be conducted within the region.

g. Establishment and supervision of technical studies and projects required in advance of, or as a consequence of, enforcement actions.

h. Establishment and supervision of those comprehensive river basin planning projects specified as the responsibilities of their Regional Assistant Commissioners.

i. Establishment and maintenance of arrangements for the continued sampling and testing of waters to which quality standards have been officially applied.

j. Establishment and implementation of means for the maintenance of a continuous inventory of water supply and water pollution control facilities within their regions.

k. Conduct of all formal liaison activities with officials of other Federal agencies, State and local governments, and private organizations.

1. Review and recommendation concerning budget and program proposals of major field activities. (These staffs will not become involved, as a matter of routine, in the day-to-day administrative affairs--such as travel, procurement, personnel administration, and so on--of major field activities.)

4. Regional Water Pollution Control Centers. These Centers will be headed by Directors who are in full charge of Center activities. Within policy, planning, and program guidance promulgated by the FWPCA headquarters, and subject to the supervision of Regional Assistant Commissioners, these Directors will have direct responsibility for the accomplishment of Center missions--regionally oriented research, training, technical assistance, and data collection; and they will have adequate delegations of administrative authority to enable them to conduct their affairs on an efficient basis. Generally speaking, the geographical scope of a Center's concern will be the DHEW Regional boundary, except that when there is more than one Center in a Region, the Regional Assistant Commissioner will subdivide the responsibility. And, it will in many cases be necessary to work out arrangements for a Center to extend its mission concerns into another Region or Regions. (The paramount considerations, here, will be that annual programs and budgets for Centers provide for such extended mission services, that potential requestors of assistance be informed as to the Center from which they can expect support, and that mutually agreeable arrangements be worked out between concerned Regional Assistant Commissioners with the approval of FWPCA headquarters.)

5. Comprehensive Projects. Each comprehensive river basin planning staff will function under a chief who reports directly to the appropriate Regional Assistant Commissioner. This chief, subject to such guidance as is promulgated by the FWPCA headquarters, will have immediate responsibility for the development phase--that is, for essential intensive investigations, planning and program formulation--of his comprehensive projects. He will maintain and direct a headquarters staff and the staffs of such substations as may prove necessary to the conduct of his projects. He will receive supervision and direction only from the Regional Assistant Commissioner. He may, either on his own initiative or theirs, receive technical advice, assistance, and consultation from members of the staffs of the Commissioner and the Regional Assistant Commissioner. He will have sufficient delegations of administrative authority to enable him to conduct his affairs on an efficient basis. He will maintain close working relationships with officials of participating public and private organizations. He will provide appropriate input for annual regional programs and budgets, and he will report on project status and problems to the Regional Assistant Commissioner.

6. Enforcement Projects. Each enforcement project staff will function under a chief who is directly responsible to an appropriate Regional Assistant Commissioner. Chiefs of projects will conduct such surveys, investigations, and on-site studies as may be required in support of enforcement proceedings. Terms of reference for the functioning of the chiefs of enforcement projects will be the same as for the chiefs of comprehensive projects.

Recommendations

DESIGNATED ASSISTANT SECRETARY

1. It is recommended that:

a. The designated Assistant Secretary be charged with: developing and recommending fundamental national policy for water supply and pollution control; developing and recommending the implementation of long-range plans and objectives for the Federal water pollution control program; exercising policy supervision over and coordinating all water supply and pollution control activities of the Department; and serving as Chairman of the Water Pollution Control Advisory Board.

b. The Executive Secretariat of the Water Pollution Control Advisory Board be transferred to the immediate office of the Assistant Secretary.

c. Staff support for the Assistant Secretary's major policy and planning responsibilities be furnished by the Office of Programs of the Federal Water Pollution Control Administration.

HEADQUARTERS, FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

2. It is recommended that:

a. The headquarters of the new Administration be structured as described in the preceding discussion and as shown graphically on Figure 4.

b. The responsibilities, authorities, duties, and relationships of each proposed headquarters official be prescribed as proposed in the preceding discussion and as detailed in Appendix D.

NATIONALLY ORIENTED FIELD ACTIVITIES

3. It is recommended that the two projected national water quality research laboratories, with functions essentially as described in the preceding discussion, be subject to direct supervision by the Associate Commissioner for Research and Development.

4. It is recommended that the Division of Water Supply and Pollution Control's Cincinnati research activities be constituted as the Cincinnati National Water Research Laboratory, and that the director of this Laboratory be subject to direct supervision by the Associate Commissioner for Research and Development.

5. It is recommended that the Division of Water Supply and Pollution Control's Cincinnati technical assistance, water quality surveillance, and training activities:

a. Be constituted as the Cincinnati National Technical Services Center, with responsibilities, authorities, and duties as proposed herein and as detailed in Appendix D.

b. During a transitional period, be subject to the technical supervision of the Associate Commissioner for Technical Programs.

REGIONALLY ORIENTED FIELD ACTIVITIES

6. It is recommended that:

a. For purposes of decentralized management and control, DHEW regional boundaries be established as FWPCA regional boundaries.

b. Regional Program Staffs be established and located in DHEW Regional Offices, and Regional Assistant Commissioners be appointed to head these staffs.

c. Regional Assistant Commissioners be delegated authority and responsibility--within plans, policies, programs, budgets, and other guidance issued by the Commissioner--to supervise and control the heads of all FWPCA regionally oriented field activities headquartered within their regions to include Regional Water Pollution Control Centers and staffs of comprehensive and enforcement projects.

d. The title "Regional Water Pollution Control Center" be accepted as the official designation for the regional facilities now identified as regional laboratories.

e. Precise terms of reference for the responsibilities, authorities, duties, and relationships of Regional Assistant Commissioners, Regional Program Staffs, Regional Water Pollution Control Centers and their directors, and chiefs of comprehensive and enforcement projects be prescribed as proposed in the preceding discussion and as stated in Appendix D.

IMPLEMENTATION OF RECOMMENDATIONS

7. It is recommended that a nucleus staff for the headquarters of the new Administration be established as promptly as possible, and that this staff be required to do everything that is possible to translate approved recommendations into a going organization by FWPCA's activation date. Suggestions as to the kinds of implementing actions required are presented in Section VII of this report.

VII

IMPLEMENTATION OF ORGANIZATIONAL RECOMMENDATIONS

The Task Force has considered the implementing steps necessary to provide optimum staffing and to build into the Federal Water Pollution Control Administration the capability of operating effectively in accordance with the proposed concept of staff and field operations.

The Task Force sees no great problem in establishing the scientific and technical base for the new Administration. It now exists in the highly trained and experienced commissioned corps and civil service personnel now assigned to the DWSPC, the majority of whom will probably transfer to the new Administration. With the planned program expansion, extensive and vigorous recruiting activities will be required to obtain the additional numbers and types of technical and scientific skills required. But the major task will be the injection into the organization, at the very outset, the staff organization concept.

The Administration must be sure that the DWSPC officials who become key staff heads in the new organization have an understanding of the concept and are capable of working effectively as staff to the Commissioner. This applies particularly to the senior officials--the Associate Commissioners, Assistant Commissioners, and division chiefs who will be instrumental in developing and molding an efficient staff organization. Also important is the requirement that the officials appointed to head major field activities are capable of dynamic and effective leadership, but within plans and programs established by headquarters, FWPCA. The other aspect of the same problem is that additional technical personnel (below division chief level) must be recruited to fill the key staff planning positions where there is now a void. Technical knowledge and experience as "doers" here are not enough. Planners are needed. Admittedly, some may be brought in from the field, but many will have to be recruited and, again, they must be capable of performing effectively in planning and coordinating roles. There is no tailor-made solution for handling this formidable requirement. However, the Task Force has developed certain implementation guidelines which are outlined below.

As a first step in implementing the new organization, the Commissioner-designee should, as soon as possible, establish a FWPCA nucleus staff. This staff, as a minimum, would consist of the Deputy Commissioner, Assistant Commissioner for Administration and chiefs of his divisions, the Assistant Commissioner of Programs, the Chief of Public Information, the Special Assistant for Legislative Affairs, and the Associate Commissioners. This nucleus staff, based on the approved organization plan and working closely with key staff of DWSPC, would develop the staffing plan for the FWPCA headquarters and key field activities, to be effective as soon as possible--hopefully, by the date of FWPCA's activation.

As major portions of this staffing plan are completed they would be turned over to the personnel specialists on the staff for initiation of the necessary action for filling the positions with commissioned officers and civil service personnel in the DWSPC. The senior members of the nucleus staff would naturally be vitally concerned with the selection of their division chiefs and other key personnel and with the development of internal plans for the operations of their respective staff organizations. During this period, it would be expected that the Commissioner-designee (or Deputy) would enunciate his views to the staff--chief among these being the emphasis on the staff planning concept. In addition, elements under the Assistant Commissioner for Administration would develop activation orders, Federal Register material, delegations of authority, and the myriad of other administrative arrangements essential to the first day of operation.

After activation the Task Force would visualize further building up of the staff and clarification and strengthening of headquarters-field relationships.

In summary, the key to success in implementation of the organization proposed by this study is the establishment of the staff concept for headquarters operation and the subsequent welding together of an effective staff structure. This will take the time and continuous attention of the Commissioner and his senior subordinates for a number of months after activation, but will pay real dividends in building an organization capable of making the transition from a division of a bureau of the Public Health Service to a national organization recognized as the leader of water pollution control activities in the Nation.

APPENDIX A

Legislative History Through Enactment of the Water Quality Act of 1965

The role of the Federal Government in the control of water pollution has undergone substantial change in the last two decades. This change has been primarily the result of Congressional initiative.

Before 1948, minimal Federal pollution control efforts were prescribed by three different Acts--the Rivers and Harbors Act of 1899, the Public Health Act of 1912, and the Oil Pollution Act of 1924. The first of these Acts prohibited the discharge or deposit into navigable waters of any refuse or matter except that which flowed in a liquid state from streets and sewers. This provision, designed primarily to prevent impediments to navigation, was the first specific Federal legislation affecting water pollution control. The human health aspects of water pollution received attention for the first time in the Public Health Act of 1912, which, among other things, authorized investigations of water pollution relating to the diseases and impairments of man. The 1912 Act was followed, in 1924, by the Oil Pollution Act, which was addressed to the control of oil discharges into coastal waters--discharges which might result in damage to aquatic life, harbors and docks, and recreational facilities.

The first reasonably comprehensive Federal water pollution control legislation was the Federal Water Pollution Control Act of 1948 (Public Law 80-845). In its main provisions, this Act authorized the Surgeon General to develop comprehensive water pollution control programs in cooperation with the States; to encourage the States to develop uniform and meaningful pollution control laws and to engage in interstate compacts for the control of water pollution; to enforce, under limited circumstances, the abatement of pollution of interstate waters; and to conduct investigations, research, and surveys. The Act also authorized annual appropriations of $1 million to be used in grants for industrial waste pollution control studies, $1 million to be used in grants for preliminary engineering studies, and $22.5 million to be used in loans for construction of waste treatment works. (Funds for the loans were never appropriated.)

The 1948 Act was experimental and was limited to a trial period of five years, after which the Federal program was to be reviewed and revised on the basis of experience. In 1953, the trial period was extended for three years.

Comprehensive water pollution control legislation of a permanent and strengthened nature first emerged in 1956, with the enactment of the Water Pollution Control Act Amendments of 1956 (Public Law 84-660). The Surgeon General, under the supervision of the Secretary of Health, Education, and Welfare, was charged with administering the provisions of these Amendments, which affirmed that States have primary responsibilities for preventing and controlling water pollution; authorized continued Federal-State cooperation in the development of comprehensive programs for the control of water pollution; authorized increased technical assistance to States and intensified and broadened research by authorizing, for the first time, use of the research potential of universities and other institutions outside of Government; authorized the collection and dissemination of basic data on water quality relating to water pollution prevention and control; directed the continued encouragement of interstate compacts and uniform State laws; authorized annual appropriations of $3,000,000 for grants to States and interstate agencies for water pollution control activities; authorized the appropriation of $50,000,000 a year to finance formula grants for the construction of municipal sewage treatment works; modified and simplified procedures governing Federal abatement actions against interstate pollution; authorized the appointment of a Water Pollution Control Advisory Board; and authorized a cooperative program to control pollution from Federal installations.

Proposals to amend the Federal Water Pollution Control Act to provide for an even more effective program of water pollution control were introduced in the first session of the 87th Congress, and, following their endorsement by President Kennedy, were ultimately reflected in the Federal Water Pollution Control Act Amendments of 1961 (Public Law 87-88), which were signed into law on July 20, 1961. These amendments strengthened the Act by: transferring responsibility for its administration from the Surgeon General to the Secretary; extending the scope of Federal enforcement authority and strengthening enforcement procedures; authorizing an expanded water quality research program by authorizing increased annual appropriations for such research, and by authorizing the establishment of field laboratory and research facilities in, among others, seven specified major areas of the Nation; increasing Federal financial support of State and interstate water pollution control programs; increasing the authorized annual Federal financial assistance to municipalities for construction of waste treatment works; and authorizing concerned Federal agencies to include, in their surveys and plans for Federal reservoirs and impoundments, storage capacity for regulating streamflow to control water quality.

PROVISIONS OF BASIC ACT, AS AMENDED THROUGH 1961

As amended through 1961, the Federal Water Pollution Control Act provides the principal legislative base for DHEW's current water pollution control responsibilities. For this reason, and to establish explicit terms of reference for a later description of changes imposed by the Water Quality Act of 1965, the current provisions of the basic Act are summarized, and to some extent explained, below.

Comprehensive Programs

The Secretary is directed to develop comprehensive river basin programs for the prevention and control of water pollution, in cooperation with other concerned Federal agencies, State and interstate water pollution control agencies, and involved municipalities and industries. (Comprehensive programs draw upon, for assistance, all of the known scientific disciplines and technical services concerned with water pollution. Their geographical focus is on major river basins, as shown in Figure 5. Major steps in the conduct of such programs include examination of the waters in the basin to determine the kinds and sources of pollution and the quality of the water; examination of the uses of the water to determine the quality of water required; proposal of remedial action to abate pollution and to obtain desired water quality; and continuous surveillance of the condition of the basin's waters to ensure maintenance of desired water quality.)

Reservoir Planning

Department of the Army's Corps of Engineers, Department of the Interior's Bureau of Reclamation, and other concerned Federal agencies are directed to coordinate with the Secretary of Health, Education, and Welfare in determining the need for storage of water in Federal reservoirs to facilitate regulation of streamflow for the purpose of water quality control.

Interstate Cooperation and Uniform Laws

The Secretary is directed to encourage cooperative activities by the States in the prevention and control of interstate pollution; the enactment of improved and uniform State laws relating to the prevention and control of water pollution; and the establishment of interstate compacts for pollution control.

Research, Investigations, Training, and Information

Under Section 4 of the Federal Water Pollution Control Act, the Secretary is authorized, and in some instances required, to conduct several kinds of activities. He is:

1. Directed to conduct a broad program of research, experiments, investigations, demonstrations, and studies relating to the causes and control of water pollution, and specifically to develop and demonstrate (a) practicable means of removing the maximum possible amounts of pollutants from sewage and other water-borne wastes; (b) improved methods and procedures for identifying and measuring the effects of pollutants on water uses; and (c) methods and procedures for evaluating the effects on water quality and uses of augmented streamflows to control water pollution not susceptible to other means of abatement. Annual appropriations of $5 million, up to an aggregate of $25 million, are authorized for these areas of research.

2. Directed to establish, equip, and maintain field laboratory and research facilities, including but not limited to locations in the Northeast, Middle Atlantic, Southeast, Midwest, Southwest, and Pacific Northwest portions of the contiguous United States, and in Alaska, for the conduct of research, investigations, experiments, field demonstrations and studies, and training relating to pollution control.

3. Directed to conduct research and technical development work and studies with respect to the present and future water quality of the Great Lakes, and to determine alternate means of solving water pollution control problems with respect to these waters.

4. Authorized to make grants-in-aid to public and private agencies and institutions and to individuals for the conduct of research or training projects and for demonstrations, and to contract for such activities.

5. Authorized to establish and maintain research fellowships.

6. Authorized to provide technical training to personnel of public agencies and to other qualified persons.

7. Authorized to provide technical assistance to any State water pollution control agency or interstate agency, community, or industrial plant.

8. Directed to collect and disseminate basic data on chemical, physical, and biological water quality and other information relating to water pollution and its prevention and control.

Grants for Water Pollution Control Programs

The Secretary is authorized to make annual grants to States and interstate agencies to assist them in meeting the costs of establishing and maintaining adequate measures for the prevention and control of water pollution. An annual appropriation of $5 million is authorized for this purpose.

Grants for Construction of Waste Treatment Works

The Secretary is authorized to make grants, on a formula basis, to any State, municipality, or intermunicipal or interstate agency for the construction of necessary treatment works to prevent the discharge of untreated or inadequately treated sewage or other waste into any waters. An annual appropriation of $100 million is currently authorized for this purpose. Grant ceilings are established at $600,000 for an individual project, and $2.4 million for projects which will serve more than one municipality.

Enforcement

The Secretary is directed to institute Federal enforcement action for the control of pollution of interstate or navigable waters endangering the health or welfare of any person whenever requested by the Governor of any State or a State water pollution control agency, or, with the concurrence of the Governor and the State agency, the governing body of any municipality; or when he has reason to believe that pollution originating in one State is endangering the health or welfare of persons in another State. (Procedures to be followed in the Federal enforcement process are specifically spelled out in the Act. Usually, enforcement actions are accompanied by technical studies, either of short or long duration.)

Control of Pollution From Federal Installations

Federal departments and agencies having jurisdication over buildings, installations, or other property which might serve as sources of water pollution are directed to cooperate with DHEW, and with State or local agencies having jurisdiction over involved waters, in preventing or controlling the pollution of such waters. The Secretary is required to report, in his summaries of enforcement conferences, the pollutant effects of discharges into concerned waters from Federal property.

Water Pollution Control Advisory Board

The Presidentially appointed Water Pollution Control Advisory Board, established by the Act, is charged with advising, consulting with, and making recommendations to the Secretary on matters of policy relating to his activities and functions under the Act.

Provisions of the Water Quality Act of 1965

The Water Quality Act of 1965 became law when it was signed by the President on October 2, 1965. This Act amends the Federal Water Pollution Control Act (P.L. 84-660) in several substantial ways--all of which are intended to strengthen the capacity of the Nation to abate and control, and to prevent where possible, the pollution of its waters. In particular, the 1965 amendments strengthen the role of the Federal Government in water pollution control by establishing a Federal Water Pollution Control Administration and by requiring the Secretary of Health, Education, and Welfare to ensure the establishment of standards of quality for the Nation's interstate waters. These and other provisions of the new Act are described below and are related to P.L. 660, in summary form, in Figure 1.

ORGANIZATIONAL AND ADMINISTRATIVE PROVISIONS

The Act provides for major organizational and administrative changes within the Department of Health, Education, and Welfare in relation to the water pollution control program.

It authorizes an additional Assistant Secretary, who is to be appointed by the President, by and with the consent of the Senate, and it requires the Secretary to designate an Assistant Secretary to assist in supervising and directing (a) the head of a new Federal Water Pollution Control Administration in administering the Act, and (b) the administration of all other functions of the Department relating to water pollution.

The Act creates within the Department a Federal Water Pollution Control Administration to administer the Act; permits the Secretary to appoint and fix the compensation of the head of the Administration; authorizes the head of the Administration to obtain such professional, technical, and clerical assistance as may be necessary to discharge the Administration's functions and to use funds available for carrying out such functions; authorizes him to delegate any of his functions to, or otherwise authorize their performance by, any officer or employee of the Administration; and requires him to consult with the Surgeon General on the public health aspects of the water pollution control responsibilities of the new Administration.

The Act authorizes those commissioned officers of the Public Health Service, who on the day before the effective date of the establishment of the new Administration were performing functions relating to the Federal Water Pollution Control Act, to acquire competitive civil service status and to transfer to classified positions in the Administration within six months of the activation date of the new agency.

NEW GRANTS PROGRAM FOR STORM AND SEWAGE DRAINAGE SYSTEMS

The Act authorizes the Secretary to make grants to States, municipalities, and interstate or intermunicipal agencies for the purpose of assisting in the development of projects which will demonstrate new or improved methods of controlling the discharge into any waters of untreated or inadequately treated sewage or other waste from sewers which carry storm water or both storm water and sewage or other wastes. The grants may provide for reports, plans, and specifications pertaining to these projects. The Secretary is also authorized to enter into contracts with public and private agencies and institutions and with individuals for the purpose of conducting research and demonstrations on the same problem. An annual appropriation of $20 million for the Fiscal Years 1966 through 1969 is authorized for the program, subject to these conditions: (1) The appropriate State water pollution control agency and the Secretary must approve the grant; (2) A grant for any project shall not exceed 50 percent of the project's estimated reasonable cost as determined by the Secretary; (3) The Secretary must determine that the project will serve as a useful demonstration on a new or improved method of controlling discharge from sewers; and (4) Not more than 25 percent of a total annual appropriation may be expended for contracts.

INCREASED FINANCIAL SUPPORT FOR CONSTRUCTION GRANTS

The Act makes major increases in the financial support that the Federal Government will provide for the construction of municipal waste treatment works. It doubles the Federal dollar ceiling limitations on grants for these works from $600,000 to $1.2 million for an individual project and from $2.4 million to $4.8 million for a joint project in which two or more communities participate. The existing limitation that a grant cannot exceed 30 percent of the total cost of the project remains unchanged. However, the Act does permit the Secretary to increase the basic amount of a grant by 10 percent if the project conforms to a comprehensive plan for water pollution for a metropolitan area. The Act also increases the authorization for annual appropriations for the construction grants program in Fiscal Years 1966 and 1967 from

$100 million to $150 million. The first $100 million in each of these years will be allotted to the States under existing formula based on population and per capita income, and all amounts appropriated in excess to the $100 million will be allotted on the basis of population. Grants which are made to a State solely on the basis of population may be made without regard to the $1.2 and $4.8 million limitations if a State agrees to equally match the amount of these grants.

ESTABLISHMENT OF WATER QUALITY STANDARDS

The Act provides for the establishment of water quality standards for interstate waters or portions thereof. These standards are to ensure water of a quality necessary for public water supplies, propagation of fish and wildlife, recreational purposes, and agricultural, industrial, and other legitimate uses.

The prescribed procedure by which these standards are to be established is as follows:

1. The Governor of a State or a State water pollution control agency may file, with the Secretary of Health, Education, and Welfare, a letter of intent which states that the State will adopt (a) water quality criteria applicable to the interstate waters of the State, and (b) a plan for implementing and enforcing these criteria. If the criteria and plan are established in accordance with the letter of intent and if the Secretary determines that the State criteria and plan will provide water of necessary quality, the criteria and plan shall be the water quality standards of that State.

2. If a State does not file a letter of intent or establish water quality standards, or if the Secretary or a Governor of a State

affected by the standards established by another State desires revision of established standards, the Secretary may, after reasonable notice and a conference with concerned officials, prepare regulations setting forth standards of water quality to be applicable to interstate waters or portions thereof of the State concerned. The Secretary must promulgate these standards six months after the publication of regulations if the State has not adopted standards which will provide water of the necessary quality or if a petition for public hearing has not been filed.

3. If the Governor of any State affected by the standards prepared by the Secretary petitions the Secretary for a hearing within thirty days after the promulgation of the standards, the Secretary must call a public hearing. The Hearing Board, after taking evidence, may approve or modify the Secretary's standards. If it modifies them, the Secretary must promulgate the revised standards.

This provision of the Act also provides that discharge of matter into interstate waters or portions thereof, which reduces the quality of such waters below the established water quality standards, is subject to legal abatement action.

SHELLFISH PROVISION

The Act authorizes the Secretary to call, on his own initiative, a conference for the initiation of enforcement proceedings to abate pollution of interstate or navigable waters whenever he finds that the polluted conditions of these waters are preventing the marketing of shellfish or shellfish products in interstate commerce and thereby causing substantial economic injury to any person or persons.

APPENDIX B

ORGANIZATIONAL DEVELOPMENT: 1948-1965

From the inception of the Federal water pollution control program until enactment of the 1961 amendments to the basic Act, the program was the statutory responsibility of the Surgeon General. The 1961 amendments transferred over-all responsibility to the Secretary. The evolution of the current assignment of water pollution control functions in DHEW is described in the following paragraphs.

Developments in the Public Health Service

Under the supervision of the Surgeon General, the Bureau of State Services of the Public Health Service has administered either all or most of the Federal water pollution control program almost from its inception. Shortly after the passage of the Federal Water Pollution Control Act of 1948, the Public Health Service established a Division of Water Pollution Control in the Office of the Surgeon General, but the Division was soon transferred, together with what is now the Robert A. Taft Sanitary Engineering Center (Cincinnati, Ohio), to the Bureau of State Services. In 1954, both the Division and the Center were reduced to branch status and were consolidated with two other former divisions into a new Division of Sanitary Engineering Services.

In 1959, increased program responsibilities emanating from the 1956 amendments resulted, once again, in the elevation of the program to divisional status, with the Water Pollution Control Branch becoming the Division of Water Supply and Pollution Control (DWSPC). Water pollution research and technical functions were, for the first time, consolidated with most of the Surgeon General's remaining water pollution control functions by their transfer to the new division from the Sanitary Engineering Center.

In 1960, DWSPC was grouped with certain other divisions to form the "Environmental Health" segment of the Bureau of State Services, and this is the Division's present organizational location within the Public Health Service.

In 1961, the research grants and training grants responsibilities assigned by the Water Pollution Control Act were transferred to DWSPC from the National Institutes of Health. With this transfer, the Division's responsibilities encompassed the operational aspects of all major functions prescribed by the Federal Water Pollution Control Act.

Current Division of Responsibilities in DHEW

With one significant exception, the current division of water pollution control responsibilities in DHEW differs little from that which existed before the 1961 amendments to the Federal Water Pollution Control Act. The exception is found in the role of the Assistant Secretary.

In addition to his other duties, the Assistant Secretary serves as the designated immediate representative of the Secretary in the administration of water supply and pollution control activities. In this capacity, the Assistant Secretary serves as Chairman of the Water Pollution Control Advisory Board; recommends for or against enforcement actions in all cases of pollution within Federal jurisdictions; represents the Department in water supply and pollution control matters; reviews existing program activities and makes recommendations for improvement; assures balanced interest in water quality for all legitimate purposes; provides policy guidance to all officials of the Department concerned with water supply and pollution control activities; guides Departmental policy in pertinent program planning, budgetary, organizational, and related matters; and maintains continuing liaison with other officials in the Department who have related responsibilities. Because of the importance of enforcement proceedings and of the emphasis on the Department's enforcement responsibilities, the relationship between the Assistant Secretary and DWSPC's Enforcement Branch has been both direct and close.

The Surgeon General continues to be responsible, subject to general policy guidance from the Office of the Secretary, for all program functions except enforcement proceedings, the activities of the Water Pollution Control Advisory Board, and the approval of certain regulations and reports. Under the direction of the Surgeon General and the Chief of the Bureau of State Services (Environmental Health), the Division of Water Supply and Pollution Control continues to perform all of the operating functions of the water pollution control program.

Current Organization of DWSPC

Currently, DWSPC is an organization of more than 1,600 people, with a Washington staff of about 300, and with many and varied field activities scattered through at least thirty States of the United States. Without consideration for the possible establishment of FWPCA, the Division's staff would exceed 2,100 by the end of Fiscal Year 1966, and, on the basis of conservative staffing projections, would approach 4,000 by Fiscal Year 1970.

DWSPC headquarters now consists of the Office of the Chief, a Program Office, an Executive Office, and seven branches--Basic Data, Construction Grants, Research and Training Grants, Enforcement, Information, Technical Services, and Basic and Applied Sciences. Each of the branches is assigned functions derived from the law--functions which are implicit in their titles. Elements of three of these branches are actually field activities located in Cincinnati. These elements include all of the five sections of the Basic and Applied Sciences Branch, the Water Pollution Surveillance Section of the Basic Data Branch, the Technical Advisory and Investigations Section of the Technical Services Branch. In addition, in Cincinnati, there is a staff charged with conducting a national water pollution control training program. Although the title has had little significance for a number of years, all of these Cincinnati activities of DWSPC are identified as part of the Robert A. Taft Sanitary Engineering Center.

The Division's field organization--aside from the scientific and technical elements located in Cincinnati--includes a staff in each of the nine DHEW Regional Offices, headed by, in each case, a Regional Program Director; staffs for comprehensive river basin studies, enforcement studies, and miscellaneous field projects located in various parts of the United States; and skeleton staffs located at those authorized laboratory sites where facilities are in various stages of construction.

The Division's Regional Program Directors, who also report in the field to the Surgeon General's Regional Health Directors, are responsible for all Division activities involving relations with State officials and agencies, construction grants, State program grants, provision of technical advice and assistance, enforcement backup studies, relations with other Federal agencies, Federal installations activities, comprehensive projects, and facilities inventories. (It is emphasized that all comprehensive projects, most enforcement study projects, and certain technical assistance projects constitute separate field activities of DWSPC.)

Beyond these existing activities, Congress has authorized the establishment of two national water quality research laboratories and ten water pollution control field laboratories. The national laboratories, one to be concerned with fresh water and to be located at Duluth, Minnesota, and the other to be concerned with salt water and to be located at Narragansett, Rhode Island, will conduct research to establish water quality standards for all necessary water uses. These laboratories will not be operational, even on a minimum basis, within the next year. The so-called water pollution control laboratories will be responsible for research, technical assistance, training, data collection and university relationships. They will be oriented to the particular needs and problems of the geographic areas in which they are located. The first of these regional laboratories will be completed and in operation before the end of calendar year 1965; the last three, which were just authorized by Congress, cannot be completed and in operation before 1969 or 1970.

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5010-107

APPENDIX C

Dr. Terry ([illegible]
Mr. Pool

UNITED STATES GOVERNMENT

Memorandum

TO : The Surgeon General

DATE: FEB 12 1965

FROM : The Secretary

SUBJECT: Transitional Planning Needed for the Creation of the Water Pollution Control Administration

The "Water Quality Act of 1965" was passed by the Senate on January 28. This bill and a companion House bill are due to come up for hearings in the House very soon. As you know, the Administration is strongly supporting this legislation and wishes to have it enacted as soon as feasible. Under these circumstances it is prudent and urgent to take various planning steps to be activated in the event of enactment of this bill, so as to facilitate good administration and assure that most thoughtful consideration is given to the interests of the employees involved.

First of all, we should regard the proposed elevation of the organizational status of water supply and pollution control functions as a reflection of the importance of these functions in the eyes of Congress and the American people. The growing national significance of these activities makes it imperative that we do everything possible to facilitate the prompt establishment of the new Water Pollution Control Administration on a firm and efficient foundation. Toward this end a number of basic understandings and actions are needed.

Personnel in the present Division of Water Supply and Pollution Control should be reassured that as Department of Health, Education, and Welfare employees, their job rights will not be jeopardized by the prospective transfer of functions. Efforts are currently under way to facilitate the transfer to civil service status with essential preservation of retirement rights of those commissioned officers who wish to continue on a long-term basis with the water pollution control program. This will apparently require certain changes in law which are currently being explored and, if approved, will be formally requested. Transferred civil service employees will have the same basic rights as if there had been no change in the organizational location of the functions.

Since the precise framework of the new organization has not yet been determined, it is naturally impossible at this time to make position assignments in the new organization. However, well-accepted personnel practices will be applied in any instances where reassignments are necessary by taking account of the interests, capacities, and prior service of the individuals concerned.

Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

On the basis of careful study, it has been concluded that the prospects for successful administration of water supply and pollution control functions will be greatest if all functions of the current division are transferred to the new organization with the sole exception of any research activities which are so basic as to underlie the broad environmental health field. This, therefore, is the intent, when a new Water Pollution Control Administration comes into being.

There are many planning steps which will be needed in the coming weeks and months. Mr. Miles and Mr. Quigley will work closely with you and your staff in the development of these plans and actions. Mr. Paul Pyle, Assistant Director of the Office of Management Policy, has been designated, under Mr. Miles' direction, to organize and oversee the necessary task forces to see that the planning work--some of which will be extensive--is accomplished expeditiously. Please ask your people to extend full cooperation in carrying through this important work.

APPENDIX D

PROPOSED ASSIGNMENT OF MAJOR RESPONSIBILITIES AND FUNCTIONS FOR THE FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

I. HEADQUARTERS, FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

A. Office of the Commissioner

1. Commissioner. The Commissioner is the principal advisor to the Secretary and the Assistant Secretary on water pollution control. He directs and controls the programs and operations of the Administration, and makes all major decisions on the establishment or change of policies, plans, and programs of the Administration.

2. Deputy Commissioner. The Deputy Commissioner serves as alter ego to the Commissioner in the direction and control of Administration programs and activities and acts for him in his absence. He has primary responsibility for supervising the day-to-day activities of the headquarters staff and for coordinating the interlocking water quality standards activities of the Associate Commissioners.

3. Assistant Deputy Commissioner. The Assistant Deputy Commissioner assists the Commissioner in the direction and coordination of field activities and acts for the Commissioner when both the Commissioner and the Deputy Commissioner are absent, and for the Deputy Commissioner when that official is absent. He is responsible for the development of coordinated staff solutions to regional field problems, particularly those requiring reallocation of field resources to meet changing requirements.

4. Office of the Assistant Commissioner for Programs. The Assistant Commissioner for Programs serves as principal advisor

and assistant to the Commissioner, and to the Assistant Secretary in his long-range planning role, on all matters related to program planning, development, and evaluation. He is responsible for: assisting the Assistant Secretary and the Commissioner in the development of long-range objectives and plans; developing and recommending to the Commissioner policies and guidelines for annual program development; coordinating the development of input to an annual program by all elements of the Administration; coordinating program aspects of annual budget development; supporting the defense of annual programs and budgets before the Secretary, the Bureau of the Budget, and Congressional committees; coordinating the evaluation of program execution; and providing staff assistance for the Deputy Commissioner in the coordination of water quality standards activities of the Associate Commissioners. The Divisions under his direction and their major functions are described below.

a. Division of Plans. This Division assists in the development of long-range objectives and plans for the Federal Water Pollution Control Program by provision of staff support to the Commissioner, and to the Assistant Secretary in his long-range planning role; prepares special staff studies and reports on problems of the future related to water pollution and recommends solutions to these problems; and provides staff support to the Commissioner and other senior officials of the Department in major Federal and interagency planning groups concerned with water resources.

b. Division of Program Development and Evaluation. This Division develops and recommends policies and guidelines for annual program development within the framework of the long-range objectives and plans of the Administration; assists all elements of the Administration in the development of their input to annual programs; coordinates the evolvement of an integrated and balanced annual program for approval by the Commissioner; assists in the conversion of annual programs to annual budgets; supports the defense of annual programs and budgets before the Secretary, the Bureau of the Budget, and Congressional committees; reviews and evaluates the effectiveness of program execution; prepares reports on program accomplishments and problems; develops and recommends guidance concerning, and exercises staff support over, State program grants activities of regional staffs; and provides staff assistance in the planning and programming of water quality standards.

5. Office of the Assistant Commissioner for Administration. The Assistant Commissioner for Administration serves as principal advisor and assistant to the Commissioner on all matters relating to the personnel management, financial management, organization and systems, and general services needs of the Administration. He provides, or arranges for the provision of, administrative and logistics support and services for headquarters and field organizations. The Divisions under his direction and their major functions are as follows:

a. Division of Financial Management. This Division has staff responsibility for all financial management affairs of the Administration, including financial management planning. It prepares and assists in the defense of budget estimates; allocates funds to elements of the Administration; establishes fiscal policies and procedures, and issues related instructions; supervises operation of the accounting system; and prepares necessary financial reports.

b. Division of Personnel Management. This Division has staff responsibility for personnel management within the Administration. This responsibility extends to recruitment, position classification, placement, promotion, performance standards, training, executive development, employee counseling, grievances, performance rating, and reduction in force. The Division maintains and processes appropriate personnel records.

c. Division of Organization and Management Systems. This Division has staff responsibility for all matters relating to the improvement of the Administration's organization and management system. This responsibility extends to such matters as the Administration's organizational structure; delegations of program and administrative authorities, directives systems, paperwork management systems, manpower utilization controls, automatic data processing systems requirements, and requirements for organization, manpower, and management studies and surveys.

d. Division of General Services. This Division has both staff and direct responsibility for: contract administration; personal and real property management; records administration; mail and messenger service; utilities and telecommunications management; transportation and travel management; printing and reproduction; publications distribution; safety activities; and all other general services of the Administration.

6. Office of the Chief of Public Information. The Chief of Public Information serves as principal staff advisor to the Commissioner on public relations matters and directs the activities of his Office. These activities include: informing the public of the importance and need for water pollution control and of the role of the Department and the Administration in the over-all program; maintaining effective press relations; and reviewing and clearing information and reports for public use.

7. Office of the Special Assistant for Legislative Affairs. The Special Assistant for Legislative Affairs advises and assists the Commissioner and other principal Administration officials on all legislative affairs and Congressional relations, except appropriation matters; coordinates the development of the Administration's legislative program and the preparation of special legislative reports, testimony on proposed legislation, and replies to Congressional inquiries; and provides liaison with the Office of the General Counsel on legal matters.

8. Special Assistant for Health Affairs. The Special Assistant for Health Affairs advises and assists the Commissioner and other principal Administration officials on the human health relationships of the Administration's water quality standards, research, technical services, and related responsibilities; assists in the development of means for obtaining and disseminating information on the human health significance of contaminants of water; and on health-related matters affecting more than one headquarters bureau, serves as the focal point for liaison with the Public Health Service and other public and private health organizations.

B. Staff Bureaus

1. Bureau of Technical Programs

a. Office of the Associate Commissioner for Technical Programs. The Associate Commissioner for Technical Programs is responsible for developing and recommending to the Commissioner policies, plans, and programs pertaining to the technical activities under his purview. These activities include comprehensive programs, enforcement studies, and other field projects; technical assistance to States and municipalities; technical training; and basic data. He coordinates the provision of advice and assistance to field elements and the review and evaluation of technical programs; keeps the Commissioner informed on program status and pending problems of major significance; as appropriate, represents his area of concern in relations with individuals and organizations outside the Department; and provides technical guidance to the technical assistance, training, and water quality surveillance staffs located at Cincinnati, Ohio. (The functions of these staffs are described under Field Organization of this section.) The Divisions under his direction and their major functions are described below.

b. Division of Comprehensive Programs. This Division develops policies, plans, and programs for comprehensive basin-wide water pollution control projects; establishes costs and schedules for these projects; develops plans and furnishes advice to other Federal agencies on storage requirements in reservoirs for regulation of streamflow for water quality control; participates in the development of, maintains, and disseminates information on water quality criteria, standards, and water treatment practices for use in comprehensive program development; reviews and evaluates progress on comprehensive projects against established budgets and schedules; provides staff support and technical advice to the Commissioner, Associate Commissioner for Technical Programs, and other senior officials of the Administration pertaining to the Department's functions in relation to the Water Resources Council established, and the Regional Basin Commissions authorized, by the Water Resources Planning Act of 1965, (P.L. 89-80).

c. Division of Enforcement Services. This Division, in close coordination with the Bureau of Cooperation and Enforcement, develops plans, programs, and schedules for the provision of technical advice, investigations, and studies in support of enforcement proceedings and to determine the extent of pollution caused by Federal installations; furnishes technical advice and assistance to enforcement and Federal installations support activities in the field; and reviews and evaluates the effectiveness of these field activities.

d. Division of Technical Services. This Division develops plans and programs for the provision of technical, scientific, and engineering assistance on specific problems relating to water pollution control to organizations and individuals in Federal, State, and local governments and in private concerns; provides guidance to technical assistance activities in the field (initially to the elements in Cincinnati and later to the technical assistance components of the respective Regional Water Pollution Control Centers); reviews and evaluates activities in the field; develops field training programs; provides technical training advice and guidance to field elements at Cincinnati and in the Regional Water Pollution Control

Centers; reviews and evaluates the over-all effectiveness of field training programs; furnishes advice and assistance to the Office of Administration, FWPCA, on training plans for employees of the Administration; develops plans and programs for new and improved data storage and retrieval systems for rivers, streams, and other bodies of water to permit the provision of required data to comprehensive, enforcement, and technical assistance activities of the Administration (to include collection, measurement, and evaluation of the kinds and levels of contaminants in water and the determination of the extent of quality maintenance in affected waters); provides technical advice and assistance to water quality surveillance activities; collects and publishes national inventories concerning the physical components and operating characteristics of existing water supply, sewage, and industrial waste facilities; and collects and publishes data on municipal financing and construction contracts awarded for water and waste treatment plants.

2. Bureau of Facilities Programs

a. Associate Commissioner for Facilities Programs. The Associate Commissioner for Facilities Programs is responsible for developing and recommending to the Commissioner policies, plans, and programs pertaining to construction facilities and demonstration grants directed towards water pollution control. He coordinates and directs the provision of technical advice and guidance to those personnel in the Regions who administer the construction grants program for waste treatment facilities and conduct technical review and evaluation of Federal installations waste treatment facilities;

directs and coordinates the technical review, evaluation, and approval of applications for demonstration grants and contracts; keeps the Commissioner advised on program status and pending problems of major significance; and as appropriate, represents his area of concern in relations with individuals and organizations outside the Department. The Divisions under his direction and their major functions are described below.

b. Division of Facilities Construction Programs. This Division plans and coordinates a national program of grants for the construction of municipal waste treatment works in accordance with the determined needs and availability of funds; develops policies, plans, and procedures for reviewing and approving grant projects; maintains surveillance and review of Regional Office construction grant operations; makes recommendations to the Commissioner on specific grant applications which were not approved by the Regional Offices; cooperates with the Division of Technical Services in the collection and analysis of technical data and the evaluation of water pollution control progress attributable to Federally aided projects; develops plans and programs for the review and evaluation of the adequacy of proposals for new waste treatment facilities at Federal installations; and ensures that all plans and programs for review of proposals for waste treatment facilities include consideration of such water quality standards as may have been set for the involved waters.

c. Division of Facilities Demonstration Grants. This Division plans and administers a program of grants and contracts for the demonstration of new or improved methods of controlling the discharge of untreated or inadequately treated waste from sewers which carry storm water or both storm water and sewage or other waste. In this capacity, the Division evaluates applications on the basis of program objectives; obtains technical analyses (to include consideration of the water quality standards in involved waters) of applications from internal and, as necessary, external groups; makes grants and contract awards; makes or arranges for on-site inspection of projects during construction to ensure that project specifications are followed; evaluates the efficacy of completed projects in obtaining the projected results; prepares and disseminates information on the results of demonstration projects; fully coordinates the administration of the program with other elements of the Administration; and evaluates and reports on the over-all effectiveness of the program.

3. Bureau of Cooperation and Enforcement

a. Office of the Associate Commissioner for Cooperation and Enforcement. The Associate Commissioner for Cooperation and Enforcement is responsible for developing and recommending to the Commissioner policies, plans, priorities, and programs pertaining to interstate enforcement, promulgation of regulations on water quality standards, Federal installations pollution abatement, and interstate cooperation. He coordinates and supervises staff activities related to these functions; reviews and evaluates the activities under his cognizance; keeps the Commissioner informed on program status and pending problems of major significance; and as appropriate, represents the Secretary and the Commissioner in proceedings and conferences pertaining to enforcement and standards. The Divisions under his direction and their major functions are described below.

b. Division of Federal and Interstate Cooperation. This Division promulgates regulations and procedures to implement the Federal cooperation provisions of the Federal Water Pollution Act, as amended, and applicable Executive Orders and directives; negotiates, as required, with headquarters elements of Federal agencies when cooperation is not obtained; reviews the over-all Federal Installations Program and makes appropriate recommendations to the Commissioner; plans and conducts, in close coordination with the Bureau of Research and Development and other concerned headquarters bureaus and in cooperation with the appropriate Regional Office, conferences involving the setting or revising of water quality standards, promulgates regulations on water quality standards on the basis of technical content developed by the Bureau of Research and Development and pertinent conference proceedings; promotes and develops interstate compacts and improved State laws; reviews State water statutes and pending legislation; and disseminates pertinent information in the Administration.

c. Division of Enforcement. This Division establishes priorities for the initiation of enforcement actions; in close coordination with the Division of Enforcement Services, Bureau of Technical Programs, establishes objectives and guidelines for the studies and investigations necessary to support local enforcement actions; evaluates instances of pollution and recommends whether Federal action is warranted; plans and conducts, in close cooperation with the concerned Regional Office, interstate enforcement conferences; monitors actions taken by responsible parties under a remedial schedule; and recommends and furnishes legal support for further Federal action, where warranted.

4. Bureau of Research and Development

a. Office of the Associate Commissioner for Research and Development. The Associate Commissioner for Research and Development is responsible for developing and recommending to the Commissioner policies, plans, and programs pertaining to research, development, and research and training grants activities of the Administration. He has primary staff responsibility for the development of water quality standards for all beneficial water uses, except human consumption, to include review, evaluation, and recommendation concerning standards proposed by State governments and other agencies. In the fulfillment of his responsibility, he ensures a systematic and programmatic approach to all intramural and extramural research activities of the Administration. He coordinates the provision of technical advice and assistance to field elements and the review and evaluation of research and development activities; keeps the Commissioner informed on program status and pending problems of major significance; represents and promotes water pollution control research in relations with public and private research groups and organizations and the scientific community in general; and provides direct supervision over the Cincinnati National Water Research

Laboratory, the two National Water Quality Research Laboratories, and the scientific information storage and retrieval activities of the Bureau. The Divisions under his direction and their functions are described below.

b. Division of Basic Research. This Division develops plans and programs for all intramural basic research activities of the Administration; provides technical guidance to field activities involved in basic research; performs technical review and evaluation of the basic research program and informs the Associate Commissioner of significant accomplishments and problem areas; and maintains liaison with environmental health research activities in the Public Health Service.

c. Division of Applied Research. This Division develops plans and programs for all intramural applied research activities of the Administration; recommends the over-all direction of research in the laboratories in the various Regional Centers as they become operational; assures a well-balanced over-all applied research program to include the development of plans and programs for the establishment, review, and revision of water quality standards pertaining to the kinds and levels of contaminants in water for a given use (coordinates closely with and furnishes technical assistance on such matters to the Bureau of Cooperation and Enforcement); provides technical guidance to field activities involved in applied research; performs technical review and evaluation of applied research activities; and keeps the Associate Commissioner for Research and Development informed on significant accomplishments and problem areas.

d. Division of Research and Training Grants. This Division develops plans and programs for the administration of research, training, and demonstration grants in the field of water pollution control; stimulates applications for grants; provides for adequate review of all grant applications; makes grant awards and site visits, as required; and coordinates closely with the other Divisions of the Bureau of Research and Development and with concerned field elements on extramural grants activities to assure that such activities make the maximum contribution to the attainment of the Administration's over-all program objectives.

II. FIELD ORGANIZATION, FEDERAL WATER POLLUTION CONTROL ADMINISTRATION

A. Regional Activities

1. Regional Offices

a. Regional Assistant Commissioner. The Regional Assistant Commissioner reports to and represents the Commissioner in his Region. He is responsible for the conduct and operation of the Federal water pollution control program in the Region. Within policies, plans, programs, budgets, and other guidelines promulgated by the Commissioner, he directs, coordinates, and evaluates program activities in the Region; provides leadership and direction to regional organizational elements under his supervision, including the Regional Program Staff, Regional Water Pollution Control Centers, and major field projects; reviews plans and budgets for regional activities and makes recommendations for approval or modification; maintains liaison with the DHEW Regional Director, other DHEW regional personnel, and personnel of other agencies and organizations, both public and private, to further the program in the Region; coordinates with other Regional Assistant Commissioners those regional activities that cross regional boundaries; reviews and acts upon State plans for program grants and applications for construction grants; and fosters general public understanding of the program in the Region.

b. Regional Program Staff. The Regional Program Staff under the supervision and direction of the Regional Assistant Commissioner assists him in developing and maintaining relations with other Federal agencies and State and local agencies concerned with water pollution control and in administering programs and activities in the Region. The Staff is specifically responsible for:

(1) Administering the construction grants program which includes reviewing and processing applications for grants, making grant offers, reviewing plans and specifications for waste treatment works, authorizing bid advertising, reviewing bids and approving award of contracts, inspecting completed construction, processing grant payments, conducting performance audits, and fulfilling collateral responsibilities relating to programs dealing with prevailing wage, antikickback, contract work hours standards, and equal employment opportunities.

(2) Providing guidance to State and interstate agencies in the development of their annual water pollution control programs, reviewing these plans for conformity with Section 7(f) of the Federal Water Pollution Control Act, and recommending action on these plans.

(3) Inspecting and advising Federal installations in matters related to water pollution control, to include the review

and evaluation of plans and specifications for proposed waste treatment plants.

(4) Advising the Corps of Engineers, the Bureau of Reclamation, or any other Federal agency, which is surveying for or planning a reservoir, on the effect of regulated streamflow on water quality control.

(5) Providing liaison with State and municipal agencies in the compilation of inventories on water pollution control facilities and other basic data information and in the establishment of sampling stations for the water quality network.

(6) Assisting with the administration and direction of comprehensive programs and enforcement studies.

(7) Assisting with enforcement conferences and other legal proceedings.

(8) Promoting and providing liaison for the facilities demonstration program.

(9) Representing the Regional Assistant Commissioner on interagency committees concerned with water resources.

2. Regional Water Pollution Control Centers. The Centers are under the supervision and direction of Directors, who report to the Regional Assistant Commissioner of the DHEW Region in which the Centers are located. Within the policies, plans, and programs promulgated by the Commissioner and under the general supervision of the Regional Assistant Commissioner, each Center, on an area oriented basis: conducts approved research projects; provides research support to other elements of the Administration; assists in the application of research results; provides technical assistance

upon request, to States, municipalities, and other public agencies and to private organizations; conducts investigations, studies, and field demonstrations related to water pollution control; conducts technical training for personnel of other Federal agencies, State and local public agencies, universities and industry, and provides in-service training for FWPCA personnel; and provides liaison with universities. The geographical scope of a Center will normally be a DHEW Region. However, when more than one Center is located in a DHEW Region, the Regional Assistant Commissioner upon the authorization from the Commissioner will determine the scope of each Center. In addition, a Center may provide support to areas in other Regions upon authorization by the Commissioner.

3. Major Field Projects

a. Comprehensive Programs Staff. This Staff, under the supervision and direction of a chief who reports to the appropriate Regional Assistant Commissioner, is responsible for the conduct of the developmental phase of a comprehensive river basin program within promulgated policies, plans, and programs. In this capacity, the Staff establishes and maintains a headquarters office and those substations which are necessary to the success of the project; maintains close working relationships with officials of concerned public and private organizations; plans and performs field operations necessary to the conduct of the project; reports project status and problems to the Regional Assistant Commissioner; and prepares technical reports on results of the field study.

b. Enforcement Studies Staff. This Staff, under the supervision and direction of a chief who reports to the appropriate

Regional Assistant Commissioner, is responsible for the conduct of an enforcement study within promulgated policies, plans, and programs in support of enforcement proceedings. In this capacity, the Staff establishes and maintains a headquarters office and those substations which are necessary to the success of the project; maintains close working relationships with officials of concerned public and private organizations; plans and performs field operations necessary to the conduct of the project; reports project status and problems to the Regional Assistant Commissioner; and prepares technical reports on results of the field study.

B. National Field Activities

1. Cincinnati National Technical Services Center. The Center under the supervision and direction of a Technical Director, who reports to the Commissioner and receives technical guidance from the Associate Commissioner for Technical Programs, carries on national programs in technical assistance, training, and water quality surveillance. The Center is specifically responsible for: providing technical assistance on national water pollution control problems beyond the scope or capability of the Regional Water Pollution Control Centers; developing courses, manuals, and other training aids for the Regional Water Pollution Control Centers, and conducting courses on water pollution control and related subjects which have Nationwide interest; performing analyses on samples of collected water and supplying data on them to other elements of the Administration; and developing instrumentation and system to improve the collection and analysis of water.

2. Cincinnati National Water Research Laboratory. The Laboratory under the supervision and direction of a Research Director, who reports to the Associate Commissioner of Research and Development, carries on a national research program directed toward national problems in water pollution control and regional problems which are beyond the scope and capability of the Regional Water Pollution Control Centers. Within the policies, plans, programs, budgets, and other guidelines promulgated by the Associate Commissioner, the Laboratory develops and recommends an annual program of research activities; conducts approved activities; disseminates the results of these activities; works closely with the Regional Water Pollution Control Centers in the application of these results and in the conduct of activities directed toward regional water pollution control problems; provides research assistance, as necessary, to other elements of the Administration and to public and private agencies; and provides, in conjunction with the Associate Commissioner, national leadership to water pollution control research.

3. National Water Quality Research Laboratories. These Laboratories under the supervision and direction of their Research Directors, who report to the Associate Commissioner for Research and Development, carry on national programs for the development and adoption of water quality criteria and standards for all beneficial uses of marine and fresh waters. Within the policies, plans, programs, budgets, and other guidelines promulgated by the Associate Commissioner, the Laboratories develop reliable methodology for detecting, identifying, and measuring pollutants; determine the effects of pollutants on

all beneficial water uses; establish or obtain agreement on allowable limits of water pollutants for each beneficial water use; and continuously review and update water quality criteria and standards as water quality requirements and pollution problems change. In these efforts, the Laboratories review and apply to their research effort applicable research findings of other organizations, especially these of the Public Health Service on the human health significance of water contamination; and work closely with the Regional Water Pollution Control Centers, other elements of the Administration, and other organizations in the application of water quality criteria and standards.

APPENDIX E

Officials Interviewed by Organization Task Force

Office of the Secretary

Mr. James F. Kelly, Comptroller

Mr. Edmund Baxter, Regional Director, Region III

Mr. Melville H. Hosch, Regional Director, Region V

Mr. James G. Brawley, Deputy Regional Director, Region V

Mr. James H. Bond, Regional Director, Region VII

Mr. George Hogan, Deputy Regional Director, Region VII

Office of the Surgeon General

Mr. M. Allen Pond, Assistant Surgeon General for Plans

Mr. Allen Moore, Chief, Management Analysis Staff

Dr. Clarke W. Mangun, Jr., Regional Health Director, Region V

Dr. Richard G. Boyd, Regional Health Director, Region VII

Bureau of State Services (Environmental Health)

Mr. Harry G. Hanson, Associate Chief

Mr. Wesley E. Gilbertson, Chief, Division of Environmental Engineering and Food Protection

Mr. Clarence L. Cade, Administrative Officer, Sanitary Engineering Center, Cincinnati, Ohio

Dr. David J. Sensor, Deputy Chief, Communicable Disease Center, Atlanta, Georgia

Dr. Alexander D. Langmuir, Chief, Epidemiology Branch, Communicable Disease Center, Atlanta, Georgia

Division of Water Supply and Pollution Control

Mr. Gordon E. McCallum, Chief

Mr. John T. Barnhill, Deputy Chief

Mr. Murray Stein, Assistant Chief

Dr. Allan Hirsch, Program Officer

Mr. David H. Howells, Special Assistant for Field Laboratories

Mr. A. B. Landgraf, Executive Officer

Mr. Matthew C. Pilzys, Financial Management Officer

Dr. Leon Weinberger, Chief, Basic and Applied Sciences Branch

Mr. Francis M. Middleton, Chief, Advanced Waste Treatment Section, Cincinnati, Ohio

Mr. Richard S. Green, Chief, Basic Data Branch

Mr. Leo Weaver, Deputy Chief, Basic Data Branch

Mr. Paul W. Reed, Chief, Construction Grants Branch

Mr. Robert S. Hutchings, Chief, Information Branch

Mr. Morton Lebow, Deputy Chief, Information Branch

Mr. Harry A. Faber, Chief, Research and Training Grants Branch

Mr. Keith S. Krause, Chief, Technical Services Branch

Mr. Frank E. DeMartini, Chief, Technical Advisory and Investigations Section, Cincinnati, Ohio

Division of Water Supply and Pollution Control, Continued

Mr. Earl J. Anderson, Regional Program Director, Region II

Mr. Paul DeFalco, Director, Hudson-Champlain Comprehensive Project, Region II

Mr. Lloyd W. Gebhard, Regional Program Director, Region III

Mr. Herbert H. Rogers, Regional Program Director, Region IV

Mr. John R. Thoman, Director, Athens Water Research Center, Region IV

Mr. H. W. Poston, Regional Program Director, Region V

Mr. Henning Eklund, Chief, Enforcement Program, Region V

Mr. Robert J. Schneider, Chief, Construction Grants Program, Region V

Mr. W. Q. Kehr, Director, Great Lakes-Illinois River Basin Comprehensive Project, Region V

Mr. Stephan Megregian, Deputy Director, Great Lakes-Illinois River Basin Comprehensive Project, Region V

Mr. Jerome H. Svore, Regional Program Director, Region VII

Mr. Richard D. Vaughan, Director, Robert S. Kerr Water Research Laboratory, Region VII

Mr. Paul W. Eastman, Regional Program Director, Region IX

Mr. Richard F. Poston, Program Director, Pacific Northwest Office, Region IX